



NAVAL POSTGRADUATE SCHOOL

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THESIS

**BORDER SECURITY:
A JOURNEY WITHOUT A DESTINATION**

by

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December 2013

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**BORDER SECURITY:
A JOURNEY WITHOUT A DESTINATION**

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Submitted in partial fulfillment of the
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ABSTRACT

Since the terrorist attacks of September 11, 2001, an increase in the public's awareness concerning border security has resulted in an outcry to secure this nation's borders. Congress, the Department of Homeland Security, border states, and local governments have all defined what constitutes a secure border differently, which makes the measurement of success or failure virtually impossible. By utilizing a case study methodology, this thesis seeks to answer the question: can the project management process be applied to the border security effort to generate an accepted definition of a secure border? Findings indicate that the absence of empirical data that can demonstrate a secure border has generated a tremendous amount of debate in regards to the exact level of border security but the project management process could be utilized to bring stakeholders together and create a definition of secure border that can be more widely accepted. However, various issues with the definition remain that will not be resolved, which stems from the social-psychological aspect of separating a secure border from a sealed border and some citizens in the United States will never accept anything other than a completely sealed border. This area can and should be studied in detail in the future.

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LIST OF ACRONYMS AND ABBREVIATIONS

CBP	Customs and Border Protection
DHS	Department of Homeland Security
DOJ	Department of Justice
DOS	Department of State
ERO	Enforcement and Removal Operations
HSE	Homeland Security Enterprise
HSI	Homeland Security Investigations
ICE	Immigration and Customs Enforcement
INS	Immigration and Naturalization Service
IPT	Integrated Product Team
OAM	Office of Air and Marine
OFO	Office of Field Operations
OIIL	Office of Intelligence and Investigative Liaison
OT	Office of Trade
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
QHSR	Quadrennial Homeland Security Review
USBP	United States Border Patrol

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EXECUTIVE SUMMARY

Albert Einstein purportedly once made a statement, unsubstantiated however, to the effect, that, “If I had an hour to solve a problem and my life depended on the solution, I’d spend fifty-five minutes thinking about the problem and five minutes thinking about solutions.” In stark contrast to Mr. Einstein’s supposed proclamation, 11 days after the September 11, 2001, terrorist attacks on this country’s own soil, President George W. Bush announced, in the White House, his intention to create an Office of Homeland Security.

In the short 18-month period from the conception of a Department of Homeland Security (DHS) to a fully operational DHS, the United States experienced one of the largest and unprecedented government reorganizations in modern history. Twenty-two agencies and offices from 12 departments were realigned under the DHS umbrella and with them brought an estimated 200,000 employees, and as a result, created the third largest department within the federal government.¹

Since its inception, the DHS has invested billions of dollars in border security in the form of personnel, technology, and infrastructure in an attempt to create a secure border. Over the past decade, the massive influx of funding has helped the DHS propel border security to unprecedented levels, but the United States and its citizens are still without a cohesive and achievable definition of a “secure border.” The lack of a cohesive and achievable definition for a secure border impedes this country’s ability to define goals, develop measures of success, focus resources, and reach an end state. As a result of these impediments, the taxpayers continue to fund border security policies that may or may not be effective or efficient in creating a secure border and a secure homeland.

¹ The White House, “The Executive Branch,” (n.d.), <http://www.whitehouse.gov/our-government/executive-branch>.

Comprehensive immigration reform and the direct assaults on the homeland by terrorists have once again reinvigorated the debate concerning border security efforts, progress, and status that has resulted in a public outcry to regain control of this nation's borders. However, regaining control of U.S. borders is a misnomer since it inaccurately implies that at some point, this nation once had control of its borders.²

The challenge of securing this nation's borders is immense. On a daily basis, the diverse geographical regions that comprise the U.S. borders must be protected from drug cartels, criminal organizations, smugglers, terrorist, and illegal immigrants from all over the world with a range of known and unknown intentions. In addition, border security efforts must evolve to constantly changing trends and threats to include cross-border tunneling activities, ultra-light aircraft, offshore boats and submarines, criminal tactics, and world events. As an additional layer of complexity, the border security efforts must be executed without impeding the flow of legitimate trade and travel into, and out of, the United States.

A comparison of years in which statistical data was available of the estimated total unauthorized illegal population within the United States, the fluctuation in the number of unauthorized immigrants gained or lost, and the USBP's apprehension statistics, were combined to demonstrate the correlation between the measures and the unauthorized population residing in the United States. The results demonstrate that the commonly used measures to determine a secure border have little correlation between one another, and none represents a clear and concise correlation with the unauthorized population. Moreover, not only are they not good indicators of border security efforts, but they are hardly sufficient to substantiate a claim that the border is secure.

Measuring the effectiveness of border security efforts has always been hampered by the qualitative data sources utilized by the government as indicators. Qualitative data sources are commingled with the limited quantitative data sources to project the effectiveness and status of border security efforts. The reason this process is difficult,

² Peter Andreas, *Border Games: Policing the U.S.-Mexico Divide* (Ithaca, NY: Cornell University Press, 2009), 9.

especially when using apprehension data as a metric, is that half of the quantitative formula that would provide an accurate answer is missing.

An accurate answer would be derived from a simple math equation:

$$(\text{number of unauthorized entries}) / (\text{number of apprehensions}) = (\text{effectiveness}).$$

With this inability to gather the number of unauthorized entries data to complete the equation, the status of the border will remain subjective.

What is not subjective is that the definition of “secure border” has been defined in multiple ways by multiple sole sources and lacks a unified definition. It is also evident that the definition(s) of a secure border holds a diverse meaning between political parties, states, communities, and neighbors across the United States. To some, a secure border can be summarized as a militarized zone with no illegal crossings while others consider a secure border a more open border with enforcement based on risks. However, what is evident is that the definition lacks measures that could focus resources toward an end state, whatever that is to be, and reduce the growing budget requirements of the DHS to ease the burden on taxpayers.

Defining what level of security along the border constitutes a secure border has historically been a stovepipe definition that comes from single sources that have failed to collaborate with stakeholders. Congress creates a definition of operational control for a secure border only to have the DHS create its own interpretation of a secure border using varying levels of operational control. The states do not have a codified definition of a secure border, but according to many, the federal government is not succeeding in its effort to secure the border. Thus, for a widely accepted definition of a secure border to be effective, it must be developed among all stakeholders and not in a vacuum.

In defining a secure border, the nation has witnessed and experienced numerous failures. As such, to avoid repeating the same mistakes continually, a new method should be explored. Creating a vision and implementing the project management methodology provides no guarantee of success in resolving the secure border dilemma; however, it does offer a new approach to solving a lingering problem. The project management process is adaptable and can be used to not only define secure border but to also generate

measurable criteria that can be used to gauge success toward the definition.³ As part of the project management process, the output or solution should be measurable and testable.⁴ This step allows for the creation of a definition and measures for the definition to be developed side by side.

The project management process will also introduce collaboration between stakeholders into the equation to find a solution. The stakeholder input into both the development of a definition and its measures will allow the DHS to address the GAO recommendation to target resources and invest wisely to reach an end state.⁵ Thus, the recommendation as a result of this research is that the DHS develop a vision of a secure border and move forward with identifying a project manager who can bring the project management process to fruition. However, various issues with the definition remain that will not be resolved, which stems from the social-psychological aspect of separating a secure border from a sealed border and some citizens in the United States will never accept anything other than a completely sealed border.

One aspect of border security that has been under studied is the social and psychological aspects of determining a secure border. If a secure border is a state of mind and not a state of matter, how can the border be secured at a level that meets the highest segment of the population's perception without quantifiable data?

³ PM, *Guide to Project Management Body of Knowledge (PMBOK Guide)*, 4th ed. (Project Management Institute, 2008).

⁴ Ibid.

⁵ U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, Border Patrol Strategy, Progress and Challenges in Implementation and Assessment Efforts Statement of Rebecca Gambler, Acting Director Homeland Security and Justice Issues* (GAO-12-688T), Washington, DC: GPO, 2012, <http://www.gao.gov/assets/600/590686.pdf>.

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I. INTRODUCTION

I shall not today attempt further to define the kinds of material I understand to be embraced within that shorthand description, and perhaps I could never succeed in intelligibly doing so. But I know it when I see it, and the motion picture involved in this case is not that.¹

—Justice Potter Stewart, 1964

A. BACKGROUND

Albert Einstein purportedly once made a statement, unsubstantiated however, to the effect, that, “If I had an hour to solve a problem and my life depended on the solution, I’d spend fifty-five minutes thinking about the problem and five minutes thinking about solutions.” In stark contrast to Mr. Einstein’s supposed proclamation, 11 days after the September 11, 2001, terrorist attacks on this country’s own soil, President George W. Bush announced, in the White House, his intention to create an Office of Homeland Security.

Nine months later, on June 6, 2002, President Bush announced, in a national address, a proposal to create a cabinet-level Department of Homeland Security (DHS). After submitting his formal proposal to Congress, both houses of Congress eventually passed it, known as the Homeland Security Act of 2002, and President Bush signed into law on November 25, 2002. On January 24, 2003, 60 days after the Homeland Security Act was signed into law, the DHS became operational and Tom Ridge was sworn in as its first Secretary. However, during this time, the DHS had limited operational capacity because it was meagerly staffed until the vast majority of legacy agencies were transferred to the DHS on March 3, 2003.

¹ Cornell University Law School, “*Jacobellis v. Ohio* (No. 11) 173 Ohio St. 22, 179 N.E.2d 777, reversed. STEWART, J., Concurring Opinion, Supreme Court of the United States, 378 U.S. 184, *Jacobellis v. Ohio*, Appeal from the Supreme Court of Ohio, No. 11 Argued: March 26, 1963 --- Decided: June 22, 1964. Mr. Justice Stewart, Concurring,” (n.d.), http://www.law.cornell.edu/supct/html/historics/USSC_CR_0378_0184_ZC1.html.

In the short 18-month period from the conception of a DHS to a fully operational DHS, the United States experienced one of the largest and unprecedented government reorganizations in modern history. Twenty-two agencies and offices from 12 departments were realigned under the DHS umbrella and with them brought an estimated 200,000 employees, and as a result, created the third largest department within the federal government.²

Since its inception, the DHS has been charged with managing, securing, and controlling the United States (U.S.) borders with the overall goal of preventing the entry of terrorist, terrorist weapons, contraband, and undocumented border crossers from entering the United States.³ Although border security is not the only responsibility charged to the DHS, it is one of the most important to ensure a safe and resilient homeland. Without border security, negligible or insignificant barriers would be standing between those who want to enter this country undetected with ill intentions toward this nation's great citizens.

The challenge of securing this nation's borders is immense. On a daily basis, the diverse geographical regions that comprise the U.S. borders must be protected from drug cartels, criminal organizations, smugglers, terrorist, and illegal immigrants from all over the world with a range of known and unknown intentions. In addition, border security efforts must evolve to constantly changing trends and threats to include cross-border tunneling activities, ultra-light aircraft, offshore boats and submarines, criminal tactics, and world events. As an additional layer of complexity, the border security efforts must be executed without impeding the flow of legitimate trade and travel into, and out of, the United States.

B. PROBLEM STATEMENT

Since the terrorist attacks of September 11, 2001, an increase in the public's awareness concerning border security has ensued. Comprehensive immigration reform

² The White House, "The Executive Branch," (n.d.), <http://www.whitehouse.gov/our-government/executive-branch>.

³ Department of Homeland Security, "Secure and Manage Our Borders," (n.d.), <http://www.dhs.gov/secure-and-manage-borders>.

and the direct assaults on the homeland by terrorists have once again reinvigorated the debate concerning border security efforts, progress, and status that has resulted in a public outcry to regain control of this nation's borders. However, regaining control of U.S. borders is a misnomer since it inaccurately implies that at some point this nation had control of its borders.⁴

The United States shares approximately 1,933 miles of border with Mexico and another 5,525 miles of border with Canada including Alaska.⁵ In addition, the continental United States, Alaska, and Hawaii have 12,479 miles of coastline.⁶ The national awareness concerning border security and illegal immigration has been heightened by the threat of terrorism, and the majority of people want to see a secure border.⁷ Despite the national sentiment and the hard work of the federal officials who enforce this nation's immigration and customs laws along with the assistance of federal, state, local, and tribal partners, the United States has been unable, and at times unwilling, to gain full control of its borders.⁸

The U.S. Congress, the DHS, border states, and local governments have all defined what constitutes a secure border using a different framework, which makes the measurement of success or failure and the implementation of uniform requirements that can measure success virtually impossible. Congress has defined border security through the Secure Fence Act of 2006, which stresses operational control, which "means the prevention of all unlawful entries into the United States, including entries by terrorists, unlawful aliens, instruments of terrorism, narcotics, and other contraband."⁹ The problem

⁴ Peter Andreas, *Border Games: Policing the U.S.-Mexico Divide* (Ithaca, NY: Cornell University Press, 2009), 9.

⁵ International Boundary and Water Commission (IBWC), "United States and Mexico," (n.d.), <http://www.ibwc.state.gov>.

⁶ National Oceanic and Atmospheric Administration, *The Coastline of the United States* (1975) (Washington, DC: U.S. Department of Commerce, 1975).

⁷ Dana Blanton, "Secure the Border First," *Fox News Poll*, July 2, 2010, <http://www.foxnews.com/politics/2010/07/02/fox-news-poll-secure-border/#ixzz2ehN7kOuN>.

⁸ Mae M. Ngai, *Impossible Subjects: Illegal Aliens and the Making of Modern America* (Princeton, NJ: Princeton University Press, 2004).

⁹ U.S. Government Printing Office, "Secure Fence Act of 2006," (n.d.), <http://www.gpo.gov/fdsys/pkg/BILLS-109hr6061enr/pdf/BILLS-109hr6061enr.pdf>.

with this definition begins with its achievability; it is such a stringent definition that not even the Berlin Wall managed to achieve this outcome, and it is also not measurable since in an open border environment, it will never be known if or when the zero illegal entries requirement has been met. In addition, this definition promotes the allocation of DHS resources and funding to an unachievable goal and leads to the uncoordinated spending of tax dollars due to the lack of an unknown point of diminishing return.

C. THREAT TO HOMELAND SECURITY

The need to secure this nation's borders has never been more evident than on September 11, 2001, in part due to less stringent immigration policies and laws. As witnessed in those coordinated attacks, terrorist were able to enter the United States legally with minimal scrutiny, hijack four aircraft from three different airports, and inflict massive damage on this country and its citizens. After the attacks, it was clear that incremental and conventional solutions to border security were obviously outdated and ineffective, and as a nation, its citizens faced a vast range of potential threats from outside and within this nation's own borders on a new and unprecedented scale.

Since its inception, the DHS has invested billions of dollars in border security in the form of personnel, technology, and infrastructure in an attempt to create a secure border. Over the past decade, the massive influx of funding has helped the DHS propel border security to unprecedented levels, but the United States and its citizens are still without a cohesive and achievable definition of a "secure border." The lack of a cohesive and achievable definition for a secure border impedes this country's ability as a nation to define goals, develop measures of success, focus resources, and reach an end state. As a result of these impediments, the taxpayers continue to fund border security policies that may or may not be effective or efficient in creating a secure border and a secure homeland.

The biggest threat to homeland security is a porous, mismanaged, and uncontrolled border that allows for the unabated entry of terrorists or terrorist weapons that have the potential to be unleashed on the American public. If the DHS fails to define a secure border, and lead, integrate, and unify federal, state, local, territorial, and tribal

efforts against cross-border and international activities that threaten homeland security, the U.S. way of life will be at risk and the burden placed on the American taxpayer will be immense.

D. SIGNIFICANCE TO THE FIELD

Border security has been at the forefront of many debates in both the public and private sectors. Chief among the debate has been whether or not the border is secure and how border security is measured. The president of the United States, many federal, state, and local politicians, the Secretary of the DHS, and a portion of the American public have gone on record and proclaimed the border is more secure than ever before. Those that oppose the previous group's views have gone on record proclaiming that the border is porous and more must be done to secure it to protect American citizens.

Existing literature and research on the topic of border security has overwhelmingly supported the notion that national discourse exists with how a secure border is determined. The research contained within this thesis is designed to explore the definition of a secure border and the role that definition plays in the national discourse on border security. In addition, it will explore the measures used to determine the effectiveness of border security efforts and the correlation these measures have or do not have in providing accurate assessments on the level of border security. The intended outcome from this research is to provide the DHS policymakers, DHS enterprise, and all homeland security stakeholders in the secure border conundrum with an understanding of factors that can be attributed to the discourse. The specific case study methodology utilized to achieve this outcome is presented in detail in the methodology and design chapter so that this thesis can appeal to any stakeholders that may not be familiar with social science research methodologies. This research will provide DHS and stakeholders with insight into the importance of defining "secure border" in achievable terminology and provide key processes of project visioning and management that can be implemented to develop the definition and matrixes in an effort to resolve or reduce the national discourse associated with the term "secure border."

E. RESEARCH QUESTION

The research question addressed in this thesis is can the project management process be applied to the border security effort to generate an accepted definition of a secure border?

F. SCOPE

Prolific research has been conducted that focuses on solving the border security problems but little of that research has focused on why those problems exist in the first place. Thus, the scope of this thesis is not to identify a means of achieving the currently established DHS goals for a secure border or to define a secure border. This research focuses on a thorough examination of the strategic level terminology, policies, and practices that define a secure border and a methodology that can be used to address deficiencies within the definition. Thus, instead of defining what a secure border is, the intent is for the researcher to offer a recommended solution on how to formulate a unified definition of a secure border.

Research for this thesis was focused on the definition of secure border and covered two time periods, before the creation of the DHS and after the creation of the DHS. The research of the time period prior to the creation of the DHS was limited to 1969, the first discovered year that captured data based on the unauthorized immigrant population. This period provides the historical information used as a foundational perspective or where-we-were-then view. Research of the post creation of the DHS was conducted to represent a view of this nation is at in 2013 concerning the topic of this thesis. The data sources utilized for this thesis will primarily be obtained from academic literature, government policies, internal policies, congressional testimony, and legislative acts.

G. ASSUMPTIONS

Politics and political pressure are at the forefront of border security. As the political scientist Peter Andreas noted, “Public perception is powerfully shaped by the images of the border which politicians, law enforcement agencies, and the media

project.”¹⁰ Although the national focus is concentrated on the southwest border, one assumption is that the U.S. borders should be viewed in a holistic fashion and not as individual and independent lines that must be defended. This assumption is based on the premise that an incursion at any point along the border can impact any location within the United States.

Secondly, it is assumed that the debate concerning whether or not the border is secure is valid and will not diminish because of a lack of stakeholder concurrence in the definition. The third assumption is that the apprehension data presented in this thesis represents a conservative statistical point of view. This assumption is based on the lack of availability of apprehension data at the ports of entry and those apprehended by the investigative arm of the Immigration and Naturalization Service (INS) or Immigration and Customs Enforcement (ICE). The apprehension data in this thesis represents only those apprehended by the United States Border Patrol (USBP) in-between the ports of entry, and thus, does not provide a comprehensive total of apprehensions; although, the USBP is largely responsible for the vast majority of apprehensions within the legacy INS and the DHS.

Lastly, it is assumed no method is currently available to quantify the number of immigrants that successfully cross the border illegally and avoid detection and the number that have done so and now reside in the United States. The calculations used to estimate these figures qualitatively are subject to vigorous debate and scrutiny. For the purpose of this thesis, statistical data on the unauthorized immigrant population was obtained from sources with the most conservative estimates.

H. DEFINITIONS

1. Immigration and Naturalization Service (INS)

The INS was the federal agency under the Department of Justice responsible for immigration services and enforcement prior to its consolidation into the DHS in March 2003.

¹⁰ Andreas, *Border Games: Policing the U.S.-Mexico Divide*.

2. Homeland Security Enterprise (HSE)

The 2010 Quadrennial Homeland Security Review Report defined the enterprise as “the collective efforts and shared responsibilities of federal, state, local, tribal, territorial, nongovernmental, and private-sector partners—as well as individuals, families, and communities—to maintain critical homeland security capabilities.”¹¹ The use of the term infers a whole community approach that Americans can, as a nation, prevent, prepare, and respond to or quickly recover from large-scale disasters through a shared and common national interest in the safety and security of America and its citizens.

3. Department of Homeland Security (DHS)

The executive department of the U.S. government is responsible for reducing the U.S.’s and its territories’ vulnerability to terrorist attacks, and ultimately, preventing terrorist attacks inside the U.S. border, responding to attacks when they occur, and assisting in the recovery and resilience effort after an attack or major disaster.

4. Customs and Border Protection (CBP)

CBP is a component of the DHS that supports the homeland security mission through the security of this nation’s borders and the facilitation of legitimate trade and travel. In support of its frontline missions, CBP utilizes law enforcement personnel and assets within its operational offices—Office of Air and Marine (OAM) for air and maritime operations, USBP for enforcement operations between the ports of entry, Office of Field Operations (OFO) for operations at the ports of entry, Office of Intelligence and Investigative Liaison (OIIL) for intelligence operations, and the Office of Trade (OT) to facilitate the legal and legitimate flow of trade.

5. Immigration and Customs Enforcement (ICE)

The ICE is a component of the DHS that supports the homeland security mission through criminal and administrative investigations, detentions, and removals. In support of its missions, ICE utilizes law enforcement personnel and assets within its Homeland

¹¹ Department of Homeland Security, “Quadrennial Homeland Security Review Report,” February 2010, http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf, viii.

Security Investigations (HSI) to conduct terrorism, immigration, and customs investigations, as well as support for CBP. Enforcement and Removal Operations (ERO) is responsible for detaining apprehended subjects and removing subjects ordered deported by the Immigration Court.

6. Unauthorized Immigrant

Unauthorized immigrants are foreign-born people who reside in this country without the proper authorization or documentation. They either entered the United States illegally without inspection or legally with a valid visa or immigration document but overstayed the term of legal entry but no longer possess a valid visa or valid immigration documentation to reside or remain in this country. Some of the other terms often used to refer to unauthorized immigrants include “undocumented immigrants,” “undocumented migrants,” “undocumented aliens,” and “illegal aliens.”¹²

7. Border Security

Border security entails the deployment of personnel, technology, and infrastructure to the border in support of the DHS mission to gain control and secure the U.S. border.

I. LIMITATIONS

Data regarding the estimated number of unauthorized immigrants residing in the United States is sporadic and largely based on U.S. Census data collected every 10 years. The last U.S. census year was 2010, which limits the accuracy of data between 2010 and 2012, which are the last two full years preceding this thesis. Prior to the 2003 consolidation of departments and agencies into the DHS, a national standardized means for collecting data related to immigration violations at the border did not exist. The DHS has also yet to release comprehensive data publicly that totals all apprehensions related to its border security effort.

¹² Jeffrey S. Passel, Randy Capps, and Michael Fix, “Undocumented Immigrants: Facts and Figures,” *Urban Institute*, January 12, 2004, http://www.urban.org/UploadedPDF/1000587_undoc_immigrants_facts.pdf.

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II. LITERATURE REVIEW

This chapter is a review of open source literature encompassing the definitions of secure border, and how private and public stakeholders perceive or act upon that definition. In addition, this review provides insight into current border security issues and the obstacles that prevent U.S. border security efforts from being optimally effective. This review follows a thematic framework starting with the definition and moving through the layers of contention then identifies a mechanism to solve them.

A. DEFINING A SECURE BORDER

The U.S. Congress, in its 2006 Secure Fence Act, drew a correlation between security and operational control of the border, and defined the term “operational control” as the prevention of all unlawful entries into the United States, including entries by terrorists, other unlawful aliens, instruments of terrorism, narcotics, and other contraband.¹³ As Rey Koslowski at the Migration Policy Institute surmised, the only countries that have ever achieved something close to that kind of border security have been totalitarian regimes with armed guards with shoot-to-kill orders.¹⁴

The USBP defined operational control in its 2007 National Strategy as “the ability to detect, respond, and interdict border penetrations in areas deemed as high priority for threat potential or other national security objectives.”¹⁵ In addition, the Border Patrol further dissected operational control into several levels; “controlled,” “managed,” “monitored,” “low-level monitored,” and “remote/low activity.”¹⁶

¹³ U.S. Government Printing Office, “Secure Fence Act of 2006.”

¹⁴ Rey Koslowski, “The Evolution of Border Controls as a Mechanism to Prevent Illegal Immigration,” *Migration Policy Institute*, February 2011.

¹⁵ Office of Border Patrol, *National Border Patrol Strategy*, August 21, 2007, 3.

¹⁶ Ibid.

Levels of Border Security	Definition
Controlled	Continuous detection and interdiction resources at the immediate border with high probability of apprehension upon entry.
Managed	Multi-tiered detection and interdiction resources are in place to fully implement the border control strategy with high probability of apprehension after entry.
Monitored	Substantial detection resources in place, but accessibility and resources continue to affect ability to respond.
Low-level monitored	Some knowledge is available to develop a rudimentary border control strategy, but the area remains vulnerable because of inaccessibility or limited resource availability.
Remote/low activity	Information is lacking to develop a meaningful border control strategy because of inaccessibility or lack of resources.

Table 1. Border Patrol Levels of Border Security¹⁷

The U.S. Government Accountability Office report on border security concluded that the USBP, at the end of fiscal year 2010, reported, “achieving varying levels of operational control for 873 of the nearly 2,000 southwest border miles.”¹⁸ The 873 miles of varying operational control represents an increase of an average of 126 miles each year from fiscal years 2005 through 2010. However, the Government Accountability Office’s analysis of the 873 miles reported by the USBP as under operational control found that 129 miles or 15% were classified as controlled and 744 miles or 85% were classified as managed.¹⁹

¹⁷ U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, Border Security: Preliminary Observations on Border Control Measures for the Southwest Border, Statement of Richard M. Stana, Director Homeland Security and Justice Issues* (GAO-11-374T), Washington, DC: GPO, 2011, <http://www.gao.gov/new.items/d11374t.pdf>, 8.

¹⁸ Ibid.

¹⁹ Ibid.

In its 2010–2012 Annual Performance Report, the DHS “transitioned from using operational control as its goal and outcome measure for border security.”²⁰ The DHS cited its “evolving vision for border control” and the “need to establish a new border security goal and measure that reflect a more quantitative methodology” as the reason for the transition.²¹ The DHS is in the process of developing a new border control goal and measure while using the number of apprehensions between the ports of entry as an interim performance measure until the new goal and measure are available.²²

B. APPROACHES TO BORDER SECURITY

This literature review revealed two basic approaches that can in general be applied to border security, the cooperative security approach and the unilateral approach. The cooperative security approach can be associated with the need for communication, cooperation, and coordination between bordering countries. This approach is best demonstrated by the 1994 treaty between Israel and Jordan in which it validated that by identifying the prevailing issues, this approach can result in a greater level of national security.²³ The premise of this approach is based on developing three monitoring zones (detection, identification, and reaction) on each side of the border, which creates a layered area of protection through an integrated system to create a secure border.

The unilateral approach can best be associated with preventing any entry between the ports of entry along the U.S./Mexico border. Implementation of this approach can be characterized by walls, fences, or barriers along the border.²⁴ This approach contrasts starkly with the cooperative security approach, in part because it is devoid of

²⁰ U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, Border Patrol Goals and Measures Not Yet in Place to Inform Border Security Status and Resource Needs Statement of Rebecca Gambler, Director Homeland Security and Justice Issues* (GAO-13-330T), Washington, DC: GPO, 2013, <http://www.gao.gov/assets/660/652331.pdf>, 23.

²¹ Ibid.

²² Ibid.

²³ Gideon, Netzer, “A Generic Model for Cooperative Border Security,” *Albuquerque: Cooperative Monitoring Center, Sandia National Laboratories*, March 1999, <http://cmc.sandia.gov/cmc-papers/sand98-05057.pdf>.

²⁴ Ibid.

communication and cooperation between stakeholders. Examples of this approach would be the Israel-Lebanon border, the former Berlin Wall, or the Great Wall of China.

The U.S. border security approach over the past several decades has relied on a “prevention through deterrence” strategy, an “idea that the concentration of personnel, infrastructure, and surveillance technology along heavily trafficked regions of the border will discourage unauthorized aliens from attempting to enter the United States.”²⁵ Under this approach, “Congress and successive administrations—both Democratic and Republican—have increased the size of the Border Patrol from fewer than 3,000 agents to more than 21,000, built nearly 700 miles of fencing along the southern border with Mexico, and deployed pilotless drones, sensor cameras, and other expensive technologies aimed at preventing illegal crossings at the land borders.”²⁶ In addition, as of March 4, 2011, CBP completed 649 miles of pedestrian and vehicle fencing along the southwest border. A total of 350 miles of primary pedestrian fence has been constructed, while the final total of vehicle fence was 299 miles.²⁷

In President Obama’s May 2011 proposal, “Building a 21st Century Immigration System,” he calls for increasing collaboration with Canada and Mexico on border security and cites community trust and cooperation as key to effective law enforcement.²⁸

²⁵ U.S. Library of Congress, Congressional Research Service, *Border Security: Immigration Enforcement Between Ports of Entry*, by Marc R. Rosenblum, CRS Report R42138 (Washington, DC: Office of Congressional Information and Publishing, May 3, 2013), <http://www.fas.org/sgp/crs/homsec/R42138.pdf>.

²⁶ Edward Alden, “Immigration and Border Control,” *Cato Institute*, (n.d.), <http://www.cato.org/sites/cato.org/files/serials/files/cato-journal/2012/1/cj32n1-8.pdf>.

²⁷ Customs and Border Protection, *CBP.Gov*, (n.d.), http://www.cbp.gov/xp/cgov/border_security/ti/ti_news/sbi_fence/.

²⁸ The White House, “Continuing to Strengthen Border Security,” (n.d.), <http://www.whitehouse.gov/issues/immigration/border-security>.

C. PERCEPTIONS OF A SECURE BORDER

In March 2011, DHS Secretary Janet Napolitano, while speaking at the Bridge of the Americas border crossing in El Paso, Texas, stated that a public perception exists that the border is less secure now than ever before but that perception is wrong, and in fact, the border is more secure now than ever before.²⁹

Six months later, in September 2011, the Commissioner of the Texas Department of Agriculture made public a report that he claims was initiated because rural farmers and ranchers were pleading with him to help secure the border. The report provides an analysis of the Texas border with Mexico and reflects an increase in Mexican cartel activity and the cartels' desire to create a sanctuary zone on the Texas side of the border for continued transport and distribution of drugs and narcotics into the interior United States, and suggests that the border is not secure.³⁰

The State of Arizona has also largely claimed publicly that its border with Mexico is porous and unsecure. In 2010, Arizona legislators passed Senate Bill 1070 that allows state law enforcement officers to perform certain immigration functions. In an April 2012 press release by Governor Jan Brewer, she said:

On the day I signed SB 1070, I called it 'another tool for our state to use as we work to solve a crisis we did not create and the federal government has refused to fix.' Those words still hold true—as I was reminded last week when I returned to the border to visit law enforcement and ranchers who live and work in southeastern Arizona.

Their message: The job of securing the border is not done, not so long as drugs and humans continue to be smuggled north in large numbers at the direction of violent cartels and armed gangs. As Governor, I have a duty to uphold the Constitution and a responsibility to protect the people of Arizona. With SB 1070, I am confident we can do both.³¹

²⁹ Stephanie Condon, "Napolitano: Border Security Better Than Ever," *CBSNews.com*, March 25, 2011, http://www.cbsnews.com/8301-503544_162-20047102-503544.html.

³⁰ Barry R. McCaffrey and Robert H. Scales, *Texas Border Security: A Strategic Military Assessment*, 2011.

³¹ State of Arizona, "Statement by Governor Jan Brewer," April 2010, http://azgovernor.gov/dms/upload/PR_042310_StatementByGovernorOnSB1070.pdf.

In a 2011 Government Accountability Office report, in fiscal year 2010 the USBP reported achieving varying levels of operational control for 873 of the nearly 2,000 southwest border miles and spending nearly three billion dollars on the border security efforts. The level of operational control of the 873 miles assessed by the USBP used factors, such as the numbers of illegal entries, apprehensions, and relative risk. This report also cast criticism on the measures used by the USBP to assess operational control of the border.³² In 2012, the USBP implemented a new strategy for securing the border that excluded operational control as a measure of border security effectiveness and is working on a new measure for the new strategy.³³

Peter Andreas asserts that border security before and after the September 11th attacks has been largely hollow; in his book, *War Games: Policing the U.S.-Mexico Divide*, he claims that law enforcement along the border is nothing more than a high profile display of force intended to serve a political purpose rather than purposely dealing with border security.³⁴ In addition, Andreas points out that 40% to 50% of the illegal immigrant population in the United States entered this country legally and overstayed their period of admission yet the vast majority of the border security debate focuses on security between the ports of entry.³⁵ As Congress continues to debate comprehensive immigration reform concepts, increasing the size of the USBP remains a key point for many despite the lack of evidence that prior growth has effectively or efficiently deterred narcotics smuggling and illegal immigration.³⁶

³² U.S. Government Accountability Office, *Report to Congressional Requesters, Secure Border Initiative DHS Needs to Strengthen Management and Oversight of Its Prime Contractor* (GAO-11-6), Washington, DC: GPO, 2010, <http://www.gao.gov/new.items/d116.pdf>.

³³ U.S. Customs and Border Protection, "2012–2016 Border Patrol Strategic Plan, The Mission: Protect America," *CBP.Gov*, (n.d.), http://nemo.cbp.gov/obp/2012/2012_2016_Border_Patrol_Strategic_Plan2.swf.

³⁴ Andreas, *Border Games, Policing the US-Mexico Divide*, X.

³⁵ *Ibid.*, 88.

³⁶ Andreas, *Border Games, Policing the US-Mexico Divide*.

According to a Rasmussen poll conducted in May 2011, only 30% of the public surveyed believed that the U.S.-Mexico border is secure; 64% believed ‘it is not secure.’³⁷ A 2010 Fox News/Opinion Dynamics poll indicated the American people favored a proposal to build a 2,000-mile security fence by a 53-to-40% margin.³⁸ Douglas Massey argues, “the fundamental problem with U.S. immigration policy is that it treats international migration as a pathological condition to be repressed through unilateral enforcement actions, rather than as the natural outgrowth of market expansion and economic integration.”³⁹

In response to his stance on comprehensive immigration reform, Senator Kevin McCarthy (R-CA) proclaimed in a statement concerning border security, “I have long said that our immigration system is broken, but rather than take up the Senate bill, the House will move in a step by step approach that first secures the border.”⁴⁰

Democratic Texas Representative Beto O’Rourke remarked in a February 2013 interview that “no additional enforcement” is needed to secure the border “because we no longer have an active metric from DHS and border security can mean different things to different people, I just want to point to the facts. The safest cities in America are along the border. The border is safer than the rest of the country.”⁴¹

³⁷ Rasmussen Report, “Only 30% Say U.S.-Mexico Border Secure, 64% Say It’s Not,” May 13, 2011, http://www.rasmussenreports.com/public_content/politics/current_events/immigration/only_30_say_u_s_mexico_border_secure_64_say_it_s_not.

³⁸ Blanton, “Secure the Border First.”

³⁹ Douglas S. Massey, “Five Myths About Immigration: Common Misconceptions Underlying US Border-Enforcement Policy,” *Immigration Daily*, (n.d.), <http://www.ilw.com/articles/2005,1207-massey.shtm>.

⁴⁰ Jake Sherman, “Immigration Reform’s Whipping Boy: Kevin McCarthy,” August 14, 2013, <http://www.politico.com/story/2013/08/kevin-mccarthy-immigration-reform-95552.html#ixzz2ehzejjeL>.

⁴¹ Nicholas Ballasy, “Democratic Congressman Says ‘No Additional Enforcement’ Needed on Southwest Border,” [Video], February 2, 2013, <http://dailycaller.com/2013/02/28/rep-orourke-southwest-border-secure-video/#ixzz2ei62Qhge>.

Senator John Cornyn, (R-TX) told Fox News in an interview that “for two years, Secretary Napolitano has claimed our southern border is secure without having any metrics in place to make that determination” and that “such statements demonstrate her lack of leadership and unwillingness to solve the problem.”⁴²

Marc R. Rosenblum, in testimony before the Committee on Homeland Security, Subcommittee on Border and Maritime Security on February 26, 2013, stated that the United States has spent billions of dollars, applied an exorbitant amount of effort, and collected massive enforcement data to secure the border without a consensus on how to measure border security or “how to evaluate existing enforcement efforts.”⁴³

Representative Candice Miller (R-MI), Chairman of the Subcommittee on Border and Maritime Security, said in a statement, “I look forward to hearing from key Department officials during my upcoming Subcommittee hearing on February 26th to hear how they would define what a secure border looks like, how we get there and most importantly, how the American people can be assured that the border is truly secure.”⁴⁴ The first question posed by Representative Miller summarizes the research compiled in the literature review to this point. The remainder of this researcher’s literature review will focus on addressing Representative Miller’s second question “How we get there?”

D. PROJECT VISIONING

Project or strategic visioning and project management principles are a source of relevant knowledge that can be applied to the secure border dilemma as a means of resolving the ambiguity in the terminology. Although the principles of project visioning and project management have historically been applied to private enterprises, a parallel can definitely be drawn between these private and the DHS enterprise.

⁴² William La Jeunesse, “How Secure is the Border? DHS Stats Only Measure Part of the Problem,” *Fox News*, March 12, 2013, <http://www.foxnews.com/politics/2013/03/12/how-secure-is-border-situation-unclear-as-congress-pushes-for-reform/>.

⁴³ Marc R. Rosenblum, *Specialist in Immigration Policy Congressional Research Service February 26, 2013 What Would a Secure Border Look Like? Committee on Homeland Security, Subcommittee on Border and Maritime Security*, February 26, 2013, <http://docs.house.gov/meetings/HM/HM11/20130226/100300/HHRG-113-HM11-Wstate-RosenblumM-20130226.pdf>.

⁴⁴ Candice Miller, “Real Immigration Reform Begins with Strong Border Security,” Press Release, February 12, 2013.

The Oxford dictionary defines vision as “the ability to think about or plan the future with imagination or wisdom.” Vision can also stimulate passion, provide meaning for efforts, as well as a clear path forward in meeting benchmarks.⁴⁵

Nathan S. Kaufman, in describing vision in a hospital setting states, “Strategic visioning is a process of defining the future vision of the hospital using measurable critical performance indicators.”⁴⁶ Furthermore, he states that most of the hospitals that utilize strategic visioning develop a qualitative mission and vision statement; however, these mission and vision statements are relatively useless if they are not linked to hospital’s operations and if they cannot be quantified.⁴⁷

Gary S. Lynn and Ali E. Akgun, asserted that for an organization to be effective, its vision must be comprised of three components.⁴⁸

- 1) The first component, vision clarity, refers to having a well-articulated, easy-to-understand target—a very specific goal that provides direction to others in the organization.
- 2) The second vision component, support, implies securing the commitment from people throughout an organization for what the company is trying to do. It indicates that people are willing to pitch in to help accomplish the vision—to do whatever it takes to achieve their goal.
- 3) The third component, vision stability, means that a company’s vision remains consistent over time. Having a stable vision reduces confusion within an organization. If an organizational vision changes repeatedly—like “the flavor of the day”—people can become frustrated and confused about what they are supposed to do.⁴⁹

To understand project visioning for the DHS enterprise fully, it is first necessary to look at where and how visioning is captured and the role it plays in the much larger

⁴⁵ Oxford Dictionary, “Vision,” (n.d.), http://www.oxforddictionaries.com/us/definition/American_english/vision?q=vision.

⁴⁶ Nathan S. Kaufman, “Achieving Peak Performance through Strategic Visioning,” *Trustee* 55, no. 7 (2002): 24–7, 1, <http://search.proquest.com/docview/204907004?accountid=12702>.

⁴⁷ Ibid.

⁴⁸ Gary S. Lynn and Ali E. Akgun, “Project Visioning: Its Components and Impact on New Product Success,” *The Journal of Product Innovation Management* 18, no. 6 (2001): 374–387, <http://search.proquest.com/docview/196932826?accountid=12702>.

⁴⁹ Lynn and Akgun, “Project Visioning: Its Components and Impact on New Product Success,” 375.

process known as “project management.” In defining a “project,” Francis Webster and Joan Knutson state that projects involve change—the creation of something new or different—and they have a beginning and an ending.⁵⁰ Jean Scheid wrote, in reference to project management, “Before anything else, it’s important to be clear on a project’s main goals and expectations. Get started on the right foot with a proper initiation.”⁵¹

E. PROJECT MANAGEMENT

We know why projects fail, we know how to prevent their failure—so why do they still fail?⁵²

One of the most widely relied upon source of program management comes from the Project Management Body of Knowledge (PMBOK) publication. The PMBOK is a product of the Project Management Institute (PMI) and is revised and reprinted every four years. This publication contains a summation of knowledge from within the project management field that provides a roadmap to the documentation and standardization of proven project management practices.⁵³ The PMBOK defines project management as “... application of knowledge, skills, tools and techniques to project activities to achieve project requirements. Project management is accomplished through the application and integration of the project management processes of initiating, planning, executing, monitoring and controlling, and closing.”⁵⁴

The beginning, and arguably one of the most important, phases of project management is “initiation.” The initiation phase is the time in which project visioning is brought to bear and the preliminary project performance baselines and goals are

⁵⁰ Francis M. Webster and Joan Knutson, “Chapter 1: What Is Project Management? Project Management Concepts and Methodologies,” in *The AMA Handbook of Project Management*, ed. Paul C. Dinsmore and Jeannette Cabanis-Brewin, 3rd ed. (New York: American Management Association, 2011).

⁵¹ Jean Scheid, “The Initiation Stage in Project Management,” 2010, <http://www.brighthubpm.com/methods-strategies/1672-the-initiation-stage-in-project-management/>.

⁵² Martin Cobb, “Unfinished Voyages: A Follow-Up to the CHAOS Report,” *Standish Group Report*, 1996, http://www.standishgroup.com/sample_research/unfinished_voyages_1.php.

⁵³ Tom Kendrick, *The Project Management Tool Kit: 100 Tips and Techniques for Getting the Job Done Right*, 2nd ed. (New York: American Management Association, 2010), xi.

⁵⁴ James P. Lewis, *Fundamentals of Project Management* (New York: American Management Association, 2007), 4.

established. It is the time in which the project manager works with project stakeholders to determine how to measure overall success of the project when all the work has been completed.⁵⁵ It is also the time to determine and agree upon the initial project scope, which includes the project's "goals, budget, timelines, and any other variables that can be used for success measurement once you reach the final phase, closing."⁵⁶

The definition of success for the project management process can at times be ambiguous.⁵⁷ A traditional view of a successful project process is if it achieves three objectives: 1) on time, 2) within scope, and 3) met quality objective.⁵⁸ Success can also be perceived if the project is on time, within cost, met quality objective, and met a high quality of project process.⁵⁹

Creating a strong project vision and implementing the project management process is not a guarantee of project success but it does offer a foundation upon which to build a secure border framework capable of yielding a unified definition. In the end, "success needs to be investigated from the perspective of active project team stakeholders as well as from that of their client/benefit recipients and in the theoretical and empirical/practical review of critical success criteria and factors on any project."⁶⁰

⁵⁵ Scheid, "The Initiation Stage in Project Management."

⁵⁶ Ibid.

⁵⁷ Rohaniyati Salleh, "Critical Success Factors of Project Management for Brunei Construction Projects: Improving Project Performance," (PhD thesis, Queensland University of Technology, 2009).

⁵⁸ PM, *Guide to Project Management Body of Knowledge (PMBOK Guide)*, 4th ed. (Project Management Institute, 2008).

⁵⁹ E. S. Andersen et al., "Exploring Project Success," *Baltic Journal of Management* 1, no. 2 (2006): 127–147.

⁶⁰ Paul Steinfort and Derek Walker, "Critical Success Factors in Project Management Globally and How They May Be Applied to Aid Projects," 2007, <http://researchbank.rmit.edu.au/eserv/rmit:10990/n2006006911.pdf>, 5.

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III. RESEARCH METHODOLOGY AND DESIGN

A. METHODOLOGY

To prove or disprove the thesis, the researcher adopts a case-study style research methodology. The qualitative case study methodology allows the researcher to conduct an in-depth analysis of a small number of units or “an intensive, holistic description and analysis of a single instance, phenomenon, or social unit.”⁶¹ In addition, this methodology permits the researcher to conduct a comprehensive analysis of a case while considering the associated influences and attributes,⁶² and “provides tools for researchers to study complex phenomena within their context.”⁶³

In selecting a case study as the methodology, the researcher must apply careful consideration in selecting the case to be analyzed and the type of case study utilized. A case is defined as “a phenomenon of some sort occurring in a bounded context...in effect, your unit of analysis.”⁶⁴ For this thesis, the selected case for in-depth analysis is border security, and more specifically, the phenomenon surrounding the definition of secure border.

To guide the researcher through the purpose of the study, a specific type of case study design must be selected. For this thesis, the researcher conducts an instrumental type qualitative case study.⁶⁵ This case study design is utilized by the researcher to achieve something other than an understanding of a specific situation, and provide vision into a problem or assist to refine a theory. In an instrumental case study, the unit (case) of

⁶¹ Sharan B. Merriam, *Case Study Research in Education: A Qualitative Approach* (San Francisco: Jossey-Bass, 1988), 21.

⁶² Ibid.

⁶³ Pamela Baxter and Susan Jack, “Qualitative Case Study Methodology: Study Design and Implementation for Novice Researchers,” *The Qualitative Report* 13, no. 4 (December 2008): 544–559, <http://www.nova.edu/ssss/QR/QR13-4/baxter.pdf>.

⁶⁴ Matthew B. Miles and A. Michael Huberman, *Qualitative Data Analysis: An Expanded Source Book*, 2nd ed. (Thousand Oaks, CA: Sage Publications, 1994), 25.

⁶⁵ Baxter and Jack, “Qualitative Case Study Methodology: Study Design and Implementation for Novice Researchers.”

study is of secondary interest and plays a supportive role in aiding the understanding of something else. The case, contexts, and its ordinary activities are often analyzed in depth to aid the researcher in pursuing an external interest.⁶⁶

B. DATA COLLECTION

The first step in utilizing the case study methodology in research is the collection of research material. Research material for this thesis consisted of national border security policy and strategy documents produced by the federal government, the Department of Homeland Security, the Immigration and Naturalization Service, and U.S. Customs and Border Protection and archival statistical data produced by the U.S. Census Bureau, the Department of Homeland Security, the U.S. Border Patrol, and scholarly sources that capture estimated statistical data on border security related measures.

Congressional testimony and statements made by prominent members of government at the federal, state, and local level were examined by studying written testimony, media coverage, and editorials published on the topic of a secure border. In addition, the perception of a secure border from citizens, law enforcement, political figures, government agencies, and the media were reviewed to assist with determining how they define a secure border and what is working or not working in the present border security efforts.

In collecting all the pertinent data to the case study, the researcher must also conduct an examination of the stakeholders to determine what role they have in the secure border debate, their department or agency, and what if any contributions they have made in the realm of border security. The responsible parties in this thesis are the Executive Office of the President of the United States, members of the United States Congress, Department of Homeland Security and its border security components, and the homeland security enterprise at the federal, state, local, and tribal level.

⁶⁶ Robert E. Stake, *The Art of Case Study Research* (Thousand Oaks, CA: Sage Publications, 1995).

C. DATA ANALYSIS

The next step in the case study methodology is to analyze the compiled research to determine the factors that lead to the perception that the U.S. government and the Department of Homeland Security have failed to secure the border to the satisfaction of other stakeholders. Therefore, it is necessary that the researcher analysis the qualitative and quantitative measures used to support the secure border claim, as well as the actions taken in support of or contradiction to the border security effort.

Next, the researcher assesses the data to determine whether the processes used in defining a secure border are sufficient or if another approach that can enhance the effectiveness and efficiency of the current definition of a secure border is warranted. These processes include not only the definition but also the matrixes that have been, and continue to be, used as a measurement of success in securing the border.

By utilizing this research framework, this methodology should allow for a comprehensive and unbiased analysis of the literature and data pertaining to the definition of a secure border. This analysis, conducted within the set parameters for this thesis, should allow the researcher to answer the research question by determining whether the current border security efforts support the secure border claim or if the project management process can add value to the effort.

D. STANDARD OF QUALITY AND VERIFICATION

When conducting a case study, it is imperative that the researcher ensures the validity and reliability throughout the research and recommendations. The researcher, in the context of this thesis, has endeavored to eliminate or drastically reduce bias and remain objective by collecting data from multiple private and public sources to safeguard against allowing one perspective, or limited ones, to influence the research and its conclusions. To achieve the highest standard of research, internal reliability was

established by utilizing both peer review and triangulation methodologies as an external check and balance of the researcher's methods and the validity of the analysis and conclusions.⁶⁷

The peer review process, in the context of this thesis, allowed peers to serve in a role as the devil's advocate to identify bias or flaws with the researcher's processes, analysis, or conclusions. In addition, the peer review feedback ensures the researcher remains honest and that the conclusions and recommendations derived from the research are consistent with the collected data.⁶⁸ In this case study, fellow students from the Naval Postgraduate School's Center of Homeland Defense and Security were briefed on, or asked to read, the researcher's thesis and provided their feedback on the theme, analysis, and recommendations within the thesis.

The triangulation process consists of collecting data from multiple sources to confirm developing conclusions. "In triangulation, researchers make use of multiple and different sources, methods, investigators, and theories to provide corroborating evidence. Typically, this process involves corroborating evidence from different sources to shed light on a theme or perspective."⁶⁹ In the context of this case study, triangulation involved the collection and analysis of written and verbal opinions of federal, state, and local leaders and politicians in reference to border security or a secure border. In addition, triangulation was involved in the collection and analysis of statistical data from federal agencies, reputable and notable scholars, and researchers.

⁶⁷ John W. Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Traditions* (Thousand Oaks, CA: SAGE Publications, 1998), 202.

⁶⁸ Sharon B. Merriam, *Qualitative Research and Case Study Application in Education* (San Francisco: Jossey-Bass Publishers, 1998), 27.

⁶⁹ Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Traditions*, 202.

IV. ANALYSIS

Once the literature review has been completed and the research methodology has been designed, the collected research data must undergo a rigorous and thorough analysis. For the purpose of this case study, the data is analyzed to decipher the fundamental issues raised in the problem statement of this thesis and focus the results on answering the research question, “Can the project management process be applied to the border security effort to generate a more widely accepted definition of secure border?”

In pursuit of answering the research question, the research design of this case study requires the researcher to determine the impact of current definitions of secure border by scrutinizing data related to border security efforts, how these efforts support securing the border, and how these border security efforts were manifested. This determination can be met by analyzing statistical data, legal opinions, Congressional testimony, and statements related to border security and the determination of a secure border.

A. BORDER SECURITY PAST AND PRESENT

In the history of U.S. border security, a quantitative method for determining a secure border has never been developed. Until the mid-1990s, the INS mainly used the number of apprehensions along the border to measure effectiveness and it was thought that the higher the apprehension rate, the more effective the strategy to secure the border. In the mid-1990s, that method changed and with the forward deployment of border patrol agents to within a few yards of the actual border emerged as the new operational strategy. Under this new strategy, deterrence at the border was the focus and the measure of effectiveness became the lower the apprehension rate, as a result of deterrence, the higher effectiveness and success at securing the border.

Over the past two decades, other measures have been used in conjunction with the apprehension rate, such as economy, border crime rates, and recidivist apprehensions; yet, none is able to directly identify the actual number of successful illegal crossings at the border. The USBP has documented every apprehension since 1924. This data

provides the numerator for the equation but the denominator, number of successful entries, remains an unknown. Multiple studies have been conducted to identify a means of obtaining an accurate denominator but the absence of a quantitative method has resulted in these studies producing only an alternative means of making an educated guess.

The U.S. Senate bill (S.744)—*Border Security, Economic Opportunity, and Immigration Modernization Act of 2013*—as of October 2013, has not been passed by the House of Representatives, and has reignited the national debate around whether or not the border is secure. To attain a secure border, this bill has eliminated operational control as a measure and replaced it with effective control. Effective control is defined as achieving a 90% apprehension and turn back rate of border crossers in high-risk areas along the border.⁷⁰ This proposed definition, like others before it, was developed in a stovepipe undetermined quantifiable measures that can be used to demonstrate success or failure. Senator Tom Coburn (R-OK) remarked on redefining operational control during a May 2013 hearing on comprehensive immigration reform, “The question is whether or not [the new definition was] adequate, because if we had 98 percent control and the 2 percent [uncontrolled] were terrorists, we wouldn’t think that was control,”⁷¹ Senator Coburn’s question highlights the debate, politically motivated or not, concerning the need to define a secure border in achievable and measurable terminology.

B. POLICY AND MIXED MESSAGES

On February 1, 2010, the DHS presented to Congress the first ever Quadrennial Homeland Security Review (QHSR). The QHSR was created in response to the 9/11 Commission’s recommendation codified in Public Law 110-53 by the 110th Congress. This report was designed to act as the strategic framework that unites and guides the

⁷⁰ U.S. Government Printing Office, “S.744, An Act, Sec. 3, (a) (3),” (n.d.), <http://www.gpo.gov/fdsys/pkg/BILLS-113s744es/pdf/BILLS-113s744es.pdf>.

⁷¹ U.S. Senate Committee on Homeland Security & Governmental Affairs, “Border Security: Examining Provisions in the Border Security, Economic Opportunity, and Immigration Modernization Act (S. 744),” May 7, 2013, <http://www.hsgac.senate.gov/hearings/border-security-examining-provisions-in-the-border-security-economic-opportunity-and-immigration-modernization-act-s-744>.

homeland security enterprise toward a collective end. As part of the QHSR framework, the DHS developed the vision, a strategy to achieve the vision, and core missions derived from the strategy.

The DHS vision of homeland security “is to ensure a homeland that is safe, secure, and resilient against terrorism and other hazards.”⁷² According to the QHSR, “Three key concepts form the foundation of our national homeland security strategy designed to achieve this vision:

- Security,
- Resilience, and
- Customs and Exchange.”⁷³

From these three concepts, the core missions of homeland security are derived. These five missions are:

- “Prevent terrorism and enhancing security;
- Secure and manage our borders;
- Enforce and administer our immigration laws;
- Safeguard and secure cyberspace; and
- Ensure resilience to disasters.”⁷⁴

In describing these “core missions” contained within the QHSR, the DHS proclaims them as enterprise-wide missions that would include state, local, and tribal partners with overlapping homeland security functions and not solely limited to the DHS. According to the QHSR “these missions and their associated goals and objectives tell us in detail what it means to prevent, to protect, to respond, and to recover, as well as to build in security, to ensure resilience, and to facilitate customs and exchange.”⁷⁵

The QHSR core missions are intended to align a whole-of-government, state, local, tribal, and federal enterprise approach to securing the border. A secure border is a

⁷² Department of Homeland Security, “Quadrennial Homeland Security Review Report: A Strategic Framework for a Secure Homeland,” February 2010, http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf, 13.

⁷³ Ibid., 14.

⁷⁴ Ibid., 19.

⁷⁵ Ibid.

daily concern for many nations that must prevent attacks, control immigration, and prevent the smuggling of humans, narcotics and weapons across their borders.⁷⁶ The United States is no exception to the concern about border security but it is unique in that the United States is comprised of sovereign states that operate within a parallel sovereignty system with the federal government. “The lines of authority between states and the federal government are, to a significant extent, defined by the United States Constitution and relevant case law.”⁷⁷ Historically, several legal challenges have occurred concerning a state’s ability to legislate laws with a nexus to border security that have reached the Supreme Court. Arizona’s SB 1070 is one of those cases ultimately decided by the Supreme Court.

A mere two months after the DHS delivered the QHSR to Congress, the State of Arizona passed the *Support Our Law Enforcement and Safe Neighborhoods Act* known as SB 1070 into law. SB 1070 expanded the state’s law enforcement role in curbing illegal immigration by creating state offenses and penalties related to enforcement of immigration laws that included trespassing, harboring illegal aliens, transporting illegal aliens, alien registration documents, employer sanctions, and human smuggling. Although a high percentage of Arizona residents approved of the state law SB 1070, it lacked the same level of national support and drew international criticism.⁷⁸ President Obama called the law “misguided,” and then Secretary of the DHS, Janet Napolitano, testified before the Senate Judiciary Committee that she had “deep concerns” in regards to the new law. Mexico’s president, Felipe Calderon, also condemned the new law and characterized it as a “violation of human rights.”

On July 6, 2010, the Department of Justice (DOJ), on behalf of the DHS, and Department of State (DOS), filed suit against Arizona challenging the constitutionality of

⁷⁶ Netzer, “A Generic Model for Cooperative Border Security,” 4.

⁷⁷ U.S. Library of Congress, Congressional Research Service, *Federalism, State Sovereignty, and the Constitution: Basis and Limits of Congressional Power*, by Kenneth R. Thomas, CRS Report RL30315 (Washington, DC: Office of Congressional Information and Publishing, September 23, 2013), <http://www.fas.org/sgp/crs/misc/RL30315.pdf>, 1.

⁷⁸ Includes national polls taken by the *New York Times*/CBS in May 2010, AP/Univision in May 2010, and NBC/MSNBC in May 2010 and regional polls from 2010 Arizona Republic and Lake Research Partners for America’s Voice/America’s Voice Education Fund in Summer 2010.

four provisions within SB 1070. According to the suit, SB 1070 infringed on the constitutionally reserved rights of the federal government, conflicted with federal immigration laws and policy, foreign policy, and the will of Congress. The DOJ suit asked the Federal District Court for a preliminary and permanent injunction prohibiting the State of Arizona from enforcing the sections of law within SB 1070, and cited that if the law was allowed to go into effect, its “mandatory enforcement scheme will conflict with and undermine the federal government’s careful balance of immigration enforcement priorities and objectives.”⁷⁹ The U.S. District Court granted a partial injunction and the case proceeded to the U.S. Ninth Circuit Court of Appeals, which ultimately upheld the injunction by the lower court. However, during the time the case was pending a decision from the Ninth Circuit Court of Appeals, the State of Arizona filed a countersuit against the DOJ alleging the federal government had failed to secure the border. Although the U.S. District Court dismissed Arizona’s countersuit, the case eventually reached the U.S. Supreme Court.

During the Supreme Court hearing, the government argued the Constitution grants exclusive authority in immigration and naturalization matters to the federal government and that it can only deport 400,000 aliens per year, and thus, must use its discretion entrusted by Congress to focus on criminal and violent aliens. In addition, the government argued that the enforcement of SB 1070 by Arizona could lead to widespread discrimination against some citizens and nonresidents who have a right to remain in the United States, and that it would also create serious foreign policy problems with Mexico.⁸⁰

The State of Arizona argued that the state encounters a disproportionate number of illegal border-crossers compared to other states and that the federal government will not or cannot control the borders. As a result, Arizona is left to deal with the increased

⁷⁹ United States Department of Justice, “The United States of America, Plaintiff, v. The State of Arizona; and Janice K. Brewer, Governor of the State of Arizona, in Her Official Capacity, Defendants,” July 6, 2010, <http://www.justice.gov/opa/documents/az-complaint.pdf>.

⁸⁰ The Supreme Court of the United States, “Arizona, ET AL., v. United States,” No. 11-182, April 25, 2012, http://www.supremecourt.gov/oral_arguments/argument_transcripts/11-182.pdf.

problems, crime, and lost employment opportunities for citizens that are a result of illegal aliens. Arizona appealed to the Supreme Court that it had only created its law based on existing federal laws to provide state officers a role in enforcing them.⁸¹

Of the four contested provisions in SB 1070, the Supreme Court upheld as constitutional the provision that requires an officer to make a reasonable attempt to determine the immigration status of a person stopped, detained or arrested if reasonable suspicion exists that person is in the country illegally. The three provisions ruled unconstitutional were making it a state crime for failure to register or be in possession of legal immigration documents, make a warrant-less arrest under certain circumstances, and an illegal immigrant to knowingly apply, solicit, or perform work in the State of Arizona.⁸²

In certain cases, such as immigration and naturalization issues in SB 1070, conflicts between the sovereignty of a state and of the federal government can invoke the “supremacy clause” of the Constitution, which can preempt state law. The federal government cited the supremacy clause in their dispute with Arizona concerning SB 1070, and in that case, the Supreme Court made it clear that sole sovereignty over immigration and naturalization matters reside within the federal government. The perceived lack, by a small majority of Americans, of the federal government’s ability or willingness to secure the border creates tension between the DHS and its enterprise partnership statement in the QHSR by projecting a shared responsibility for the homeland security mission as long as the federal government approves.⁸³ In essence, the federal government was asserting its authority in immigration matters, which are at the forefront of the secure-border debate, and therefore, the federal government has cemented its role in border security. Chief among the outcomes of this case is that the citizens of the United States have a right to a secure border and the government has a duty to provide it for them. However, as this case illustrates, the debate concerning a secure border varies

⁸¹ The Supreme Court of the United States, “Arizona, ET AL., v. United States.”

⁸² Ibid.

⁸³ National polls taken by the *New York Times*/CBS in May 2010, AP/Univision in May 2010, and NBC/MSNBC in May 2010.

widely from state to state, county to county, town to town, and neighbor to neighbor, and is amplified by the lack of a codified definition of secure border. Without a codified definition, personal beliefs and political views will continue to spawn division and further elevate the discourse on every level of government. This case also demonstrates that even though Arizona's SB 1070 was methodically crafted by the state legislature to comply with Congress' intent and the Constitution, the resulting outcome can be quite unpredictable.⁸⁴ This same scenario can be applied to using the project management process to define a secure border where the outcome can fall prey to the sway of politics and courts.

C. PERCEPTION BY THE NUMBERS

Since the September 11, 2001 attacks on this nation's homeland, the U.S. government poured billions of dollars into homeland security in an attempt to secure the border and thwart another attack. The creation of the DHS gave rise to a vast new governmental organization with an annual budget authority of 60.6 billion dollars for the year 2013.⁸⁵ According to Mueller and Stewart, the United States as a whole has spent in excess of a trillion dollars on domestic security over the past decade and they believe it is time to apply the standard risk assessment and cost-benefit approach to homeland security efforts. They ask, "are the gains in security worth the funds expended?"⁸⁶ Their question is closely tied to the secure border debate and determining if the amount of taxpayer funding expended has improved border security and created a secure border.

Since the massive reorganization of federal agencies brought about during the creation of the DHS, two components are now directly charged with securing the U.S.' borders: the frontline CBP, which patrols the border and conducts immigrations, customs, and agricultural inspections at ports of entry, and the ICE, which investigates

⁸⁴ The Supreme Court of the United States, "Arizona, ET AL., v. United States."

⁸⁵ Department of Homeland Security, "Budget-in-Brief, Fiscal Year 2014," (n.d.), [http://www.dhs.gov/sites/default/files/publications/MGMT/FY%202014%20BIB%20-%20FINAL%20-508%20Formatted%20\(4\).pdf](http://www.dhs.gov/sites/default/files/publications/MGMT/FY%202014%20BIB%20-%20FINAL%20-508%20Formatted%20(4).pdf), 3.

⁸⁶ John Mueller and Mark G. Stewart, *Terror, Security, and Money: Balancing the Risks, Benefits and Costs of Homeland Security*, panel discussion at "Terror and the Economy: Which Institutions Help Mitigate the Damage?" at the Annual Convention of the Midwest Political Science Association, Chicago, IL, April 1, 2011.

immigration and customs violations in the interior of the country. The amount of DHS funding for these two components has increased from 9.2 billion dollars in 2003 to 17.7 billion dollars for 2012 (Figure 1). As a result of this massive infusion of funding, the federal government's efforts to secure the border have largely consisted of adding technology, infrastructure, and personnel, as well as measuring its success in the amount of funding spend rather than the return on investment.

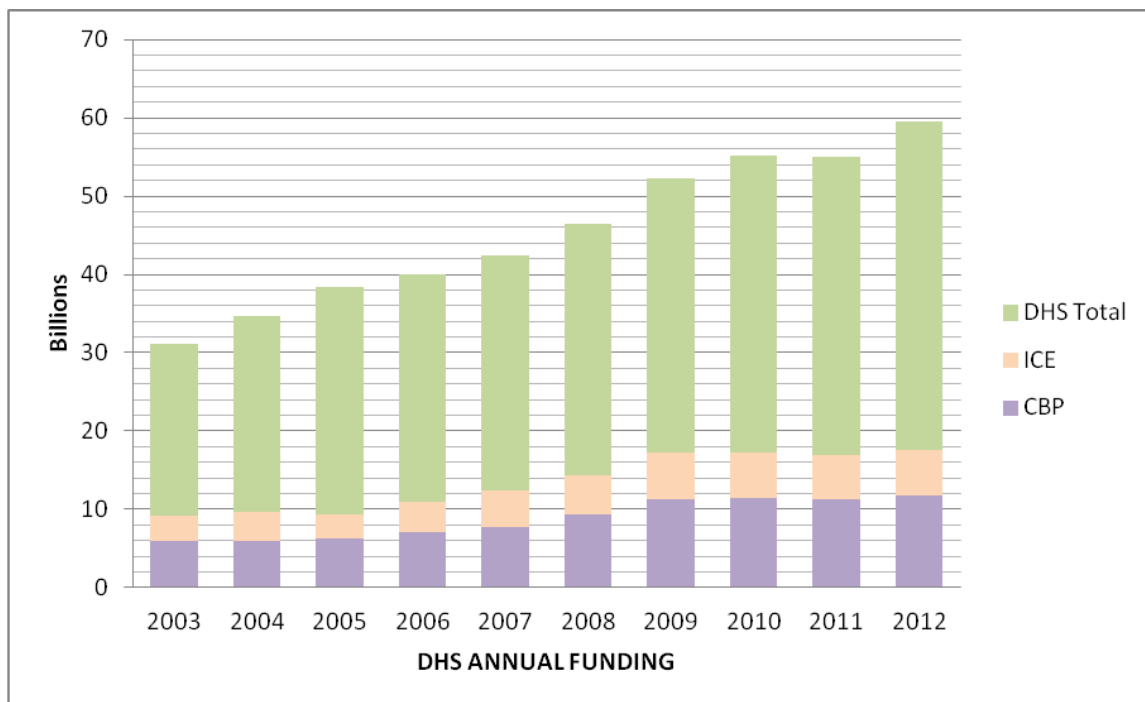


Figure 1. CBP and ICE Combined Annual Budget and DHS Total Budget for FY2003–2012⁸⁷

During the same period for FY2003–2012, CBP officers/agents alone were hired at a staggering rate and increased from 28,000 in FY2003 to 41,000 in FY2012 (Figure 2). Already CBP is one of the largest law enforcement agencies in the United States and under the proposed Comprehensive Immigration Reform bill (S.744) that passed the Senate in 2013, CBP would again swell in size by adding an addition 20,000 plus officers

⁸⁷ Data derived from U.S. Department of Homeland Security, Budget-in-Briefs, FY2005–2013.

and agents.⁸⁸ The Senate version of this bill is not expected to pass the House of Representatives intact, but if and when, a bill is consolidated and passed by both Houses of Congress, the statutory number of agents and offices in CBP will be determined.

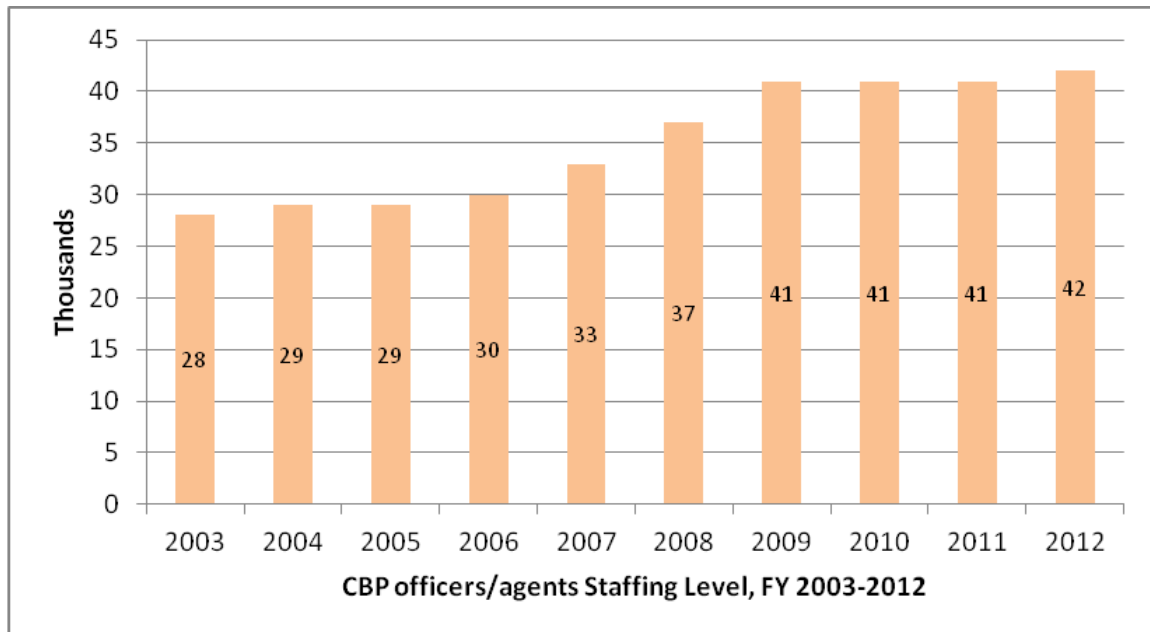


Figure 2. CBP Officer and Agent Staffing Levels, FY2003–2012⁸⁹

The USBP alone consists of approximately 21,000 agents, which in terms of land borders between Mexico and the U.S. (1,954 miles) and Canada and the U.S. (3,145 miles), equates to approximately four agents per mile or one per every one quarter mile.

The DHS and the White House have publicly stated the border is more secure now than at any time in history.⁹⁰ Theoretically, it could be presumed that a secure border would decrease the number of people entering the United States illegally, or

⁸⁸ Congress.gov, “S. 744–Border Security, Economic Opportunity, and Immigration Modernization Act,” (n.d.), <http://beta.congress.gov/bill/113th/senate-bill/744/text>.

⁸⁹ Data derived from U.S. Border Patrol, “Border Patrol Agent Staffing by Fiscal Year,” February 2013; U.S. Customs and Border Protection, Communications Management Office, November 2012.

⁹⁰ Remarks of President Barack Obama Weekly Address Mexico City, Mexico on May 4, 2013. The White House, “WEEKLY ADDRESS: Fixing Our Immigration System and Expanding Trade in Latin America,” May 4, 2013, <http://www.whitehouse.gov/the-press-office/2013/05/04/weekly-address-fixing-our-immigration-system-and-expanding-trade-latin-a>; Condon, “Napolitano: Border Security Better Than Ever.”

legally, with the intention of remaining in the country; however, the data does not support this presumption. In 1969, an estimated 540,000 people were residing in the United States illegally. By 2011, that number had swelled to 11,500,000. (Figure 3) It is estimated that as much as half the unauthorized immigrant population entered the United States legally on a valid visitor visa and never returned to their home country.⁹¹ This estimate accounts for up to 50% of the unauthorized population residing in the United States but fails to address the 50%, over five million, which entered illegally and why so many have chosen to maintain a presence in this country.

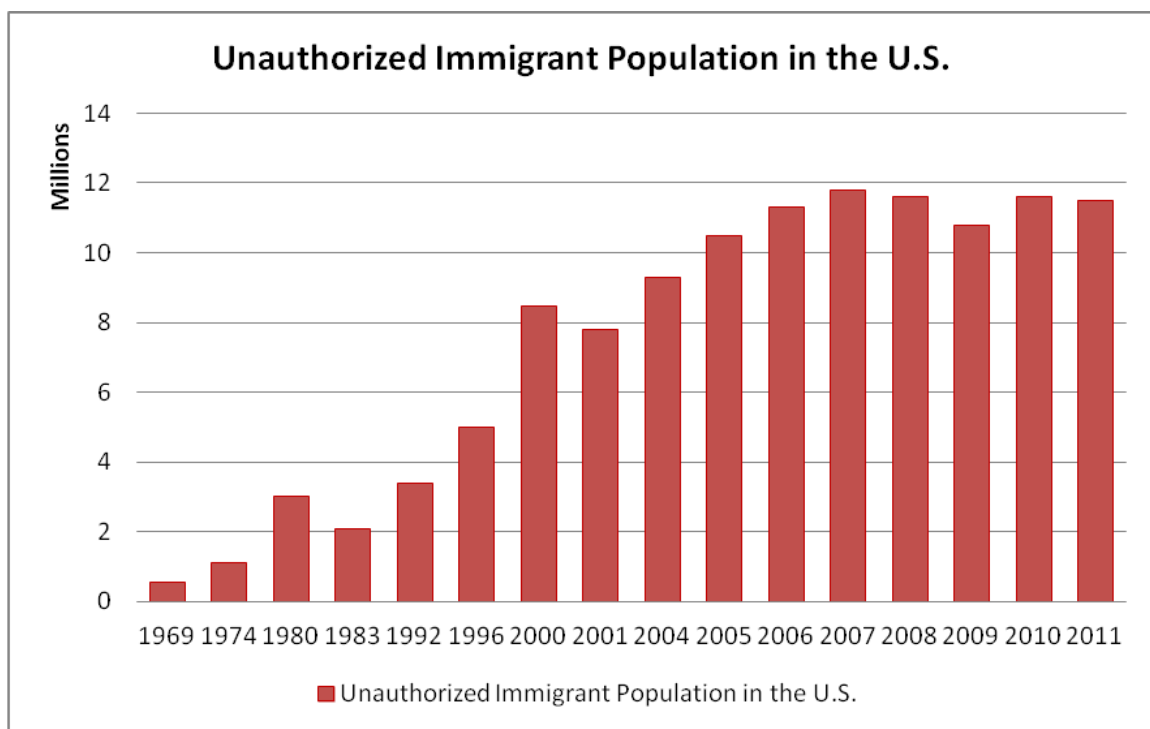


Figure 3. Estimated Number of Unauthorized Immigrant Population Residing in the United States^{92 93}

⁹¹ Andreas, *Border Games, Policing the US-Mexico Divide*, 88.

⁹² Data for 1970–1973, 1974–1979, 1981, 1982, 1984–1991, 1993–1995, 1997–1999, and 2002–2003 was not located during research.

⁹³ Data derived from Jeffrey S. Passel and D’Vera Cohn, “Unauthorized Immigrants: 11.1 Million in 2011,” *Pew Research Hispanic Trends Project*, December 6, 2012, <http://www.pewhispanic.org>; Michael Hoefer, Nancy Rytina, and Bryan C. Baker, “Estimates of the Unauthorized Immigrant Population Residing in the United States: January 2011,” *ProCon.org*, March 2012, http://immigration.procon.org/sourcefiles/Estimates_of_the_Unauthorized_Immigrant_Population_Residing_in_the_United_States_January_2011.pdf.

The fact remains that as the budget and manpower allotted to border security has dramatically increased; the unauthorized population that should decrease as a result has instead dramatically increased. This begs the question why? The answer is unintended consequences. In 1993, the Sandia National Laboratories was commissioned by the Clinton Administration to conduct a study to identify new methods that would increase border security. After conducting the study along the entire southwest border, Sandia concluded that the border control policy and tactics to apprehend as many illegal border crossers as possible should be abandoned and replaced with a high visibility presence along the border designed to deter illegal entries.⁹⁴

During this same period that Sandia was conducting its study, the El Paso Border Patrol Sector initiated “Operation Blockade,” which was a two-week evaluation of the deterrence tactic that lasted almost eight years and was later renamed “Operation Hold the Line.”⁹⁵ The operation involved deploying 400 of 650 agents along a two-mile stretch of border between El Paso, Texas, and Juarez, Mexico, on a 24-hour, seven days a week basis.⁹⁶ The immediate result of this operation was a decrease in illegal crossings along this two-mile stretch. The long-term result was that the increased enforcement posture made crossing into the urban area difficult; that once illegal immigrants successfully made an illegal entry, they chose to remain permanently in the United States. In essence, the new deterrence posture yielded a reverse deterrent effect and traded the north and south migration flow to a northern flow only. In addition, the prevention of entry through deterrence strategy has produced an unintended consequence of increased immigrant smuggling.

During the same years that statistical data was available that estimated the unauthorized illegal population in the United States, the USBP apprehension rate of those crossing, or had previously crossed, without inspection, decreased to almost historic levels (Figure 4). The DHS has used the apprehension rate of the USBP as a measure to

⁹⁴ *Border Security: Hearing Before the Subcommittee on Immigration and Claims of the Committee on the Judiciary of the House of Representatives*. 104th Cong., 1 (1995).

⁹⁵ *Ibid.*

⁹⁶ Frank D. Bean et al., *Illegal Mexican Migration and the United States/Mexico Border: The Effects of Operation Hold the Line on El Paso/Juárez* (Austin, TX: Population Research Center, 1994).

indicate the level of success in securing the border. However, “raw apprehension counts in themselves are seriously flawed as indicators of the volume of illegal migration.”⁹⁷ Douglas Massey and Karen Pren assert that even though the use of apprehension data is flawed, it can be useful in developing trend data of illegal migration “by dividing the total number of arrests by the number of Border Patrol agents looking for them.”⁹⁸ Although Massey and Pren concede they do not claim the results of this method capture the true number of successful illegal entries, they do claim it reflects an accurate trend in the volume of illegal migration.⁹⁹

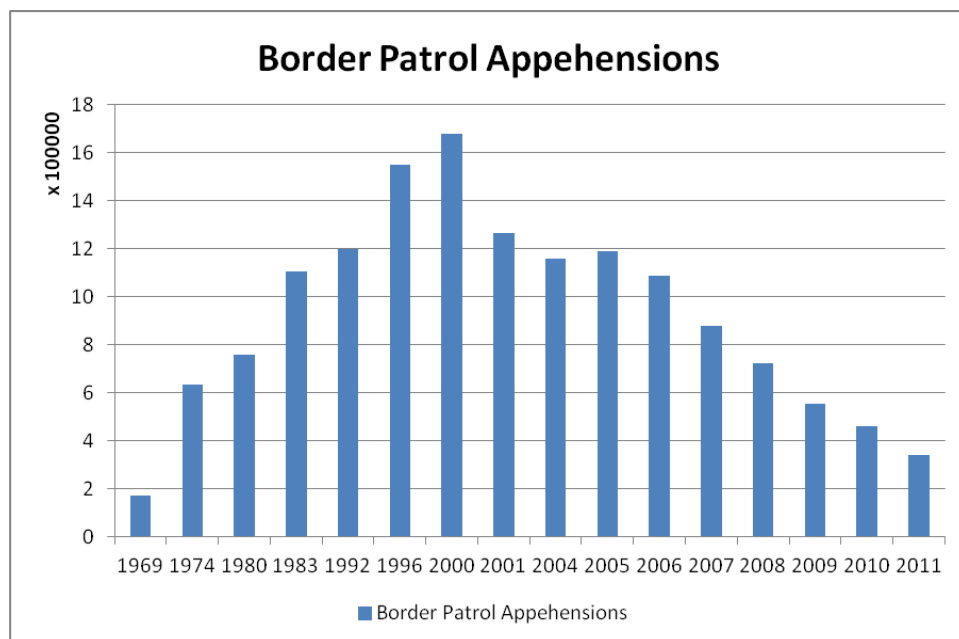


Figure 4. Border Patrol Apprehensions^{100 101}

⁹⁷ Douglas S. Massey and Karen A. Pren, “Unintended Consequences, of US Immigration Policy: Explaining the Post-1965 Surge from Latin America,” *Population and Development Review* 38, no. 1 (March 2012): 4.

⁹⁸ Ibid.

⁹⁹ Ibid.

¹⁰⁰ USBP apprehension data is available for every year from 1924–2012. The chart represents the same years in which estimates of the unauthorized population residing in the United States was available.

¹⁰¹ Data derived from U.S. Border Patrol Statistics FY1924–2012. U.S. Border Patrol, “Nationwide Illegal Alien Apprehensions Fiscal Years 1925–2012,” (n.d.), http://www.cbp.gov/linkhandler/cgov/border_security/border_patrol/usbp_statistics/usbp_fy12_stats/appr_stats_1925_2012.ctt/appr_stats_1925_2012.pdf.

Measuring the effectiveness of border security efforts has always been hampered by the qualitative data sources utilized by the government as indicators. Qualitative data sources are commingled with the limited quantitative data sources to project the effectiveness and status of border security efforts. The reason this process is difficult, especially when using apprehension data as a metric, is that half of the quantitative formula that would provide an accurate answer is missing.

An accurate answer would be derived from a simple math equation:

$$(\text{number of apprehensions}) / (\text{number of unauthorized entries}) = (\text{effectiveness}).$$

With this inability to gather the number of unauthorized entries data to complete the equation, the status of the border will remain subjective. In addition, it has been cited that the deployment of resources over the past decade have been successful based on traditional measures, but as discussed, empirical data is lacking to support this claim.

The U.S. economy has been cited as an indicator used to measure the effectiveness of border security efforts¹⁰² (Figure 5). The U.S. unemployment rate is just one of the measures used to assess the overall economy but can also be a measure for the draw the economy has on unauthorized immigration.¹⁰³ Historically, the vast majority of unauthorized immigrants have come from Latin America.¹⁰⁴ These unauthorized immigrants have entered or remained in the United States for gaining employment, and to provide a higher standard of living for themselves and their families.¹⁰⁵ In 2010, Pew Research Center reported that the unemployment rate for illegal immigrants in the United

¹⁰² U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, BORDER PATROL Goals and Measures Not Yet in Place to Inform Border Security Status and Resource Needs Statement of Rebecca Gambler, Director Homeland Security and Justice Issues*.

¹⁰³ Peter Andreas, "The Making of Amerexico (Mis)Handling Illegal Immigration," *World Policy Journal* 11, no. 2 (1994): 55.

¹⁰⁴ Michael Hoefer, Nancy Rytina and Bryan C. Baker, "Estimates of the Unauthorized Immigrant Population Residing in the United States: January 2009," *Department of Homeland Security*, January 2010, http://www.dhs.gov/xlibrary/assets/statistics/publications/ois_ill_pe_2009.pdf.

¹⁰⁵ Oliver C. Anderson, *Illegal Immigration: Causes, Methods, and Effects* (New York: Nova Science, 2010).

States is estimated to be 10.4%, compared to the national average of 9.2% for unemployed ‘legal’ workers.¹⁰⁶



Figure 5. U.S. Unemployment Rate¹⁰⁷

According to USBP Chief Michael Fisher, the decrease in unauthorized population residing in the United States between 2006 and 2011 can be attributed to a stronger enforcement posture and a weakened U.S. economy.¹⁰⁸ If true, the national unauthorized population flow should fluctuate opposite the U.S. unemployment rate; higher U.S. unemployment means lower U.S. unauthorized population, and in reverse, lower U.S. unemployment means higher U.S. unauthorized population. However, this

¹⁰⁶ Jeffrey S. Passel and D’Vera Cohn, “U.S. Unauthorized Immigration Flows Are Down Sharply Since Mid-Decade,” *Pew Research Hispanic Trends Project*, September 1, 2010, <http://www.pewhispanic.org/2010/09/01/us-unauthorized-immigration-flows-are-down-sharply-since-mid-decade/>.

¹⁰⁷ Data derived from United States Department of Labor, Bureau of Labor Statistics, “Databases, Tables & Calculators by Subject—Labor Force Statistics from the Current Population Survey,” (n.d.), http://data.bls.gov/timeseries/LNU04000000?years_option=all_years&periods_option=specific_periods&periods=Annual+Data.

¹⁰⁸ U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, BORDER PATROL Goals and Measures Not Yet in Place to Inform Border Security Status and Resource Needs Statement of Rebecca Gambler, Director Homeland Security and Justice Issues*.

measure fails to account for economic factors in the parent countries from which illegal immigrants depart or to which they return. Studies conducted on “return migration” indicate that the U.S.’ border enforcement strategy can be impacted by a foreign economy.¹⁰⁹ Market-based economic reforms within the agricultural sector in Mexico left millions of peasants without work and migrating north to the United States would be the most logical option for many of those without a job.¹¹⁰ Thus, the status of a foreign economy can have an impact on migration regardless of the status of the U.S. economy.

A comparison of years in which statistical data was available of the estimated total unauthorized illegal population within the United States, the fluctuation in the number of unauthorized immigrants gained or lost, and the USBP’s apprehension statistics, are combined in the following figure to demonstrate the correlation between the measures and the unauthorized population residing in the United States (Figure 6). This graph demonstrates that the commonly used measures to determine a secure border have little correlation between one another and none represents a clear and concise correlation with the unauthorized population. Moreover, not only are they not good indicators of border security efforts, but they are hardly sufficient to substantiate a claim the border is secure.

¹⁰⁹ Douglas S. Massey and Kristin E. Espinosa, “What’s Driving Mexico-U.S. Migration?—A Theoretical, Empirical, and Policy Analysis [Electronic version], *American Journal of Sociology*, 102 (1997): 939–999.

¹¹⁰ Peter Andreas, “The Escalation of U.S. Immigration Control in the Post-NAFTA Era,” *Political Science Quarterly* 113, no. 4 (1998): 609–610.

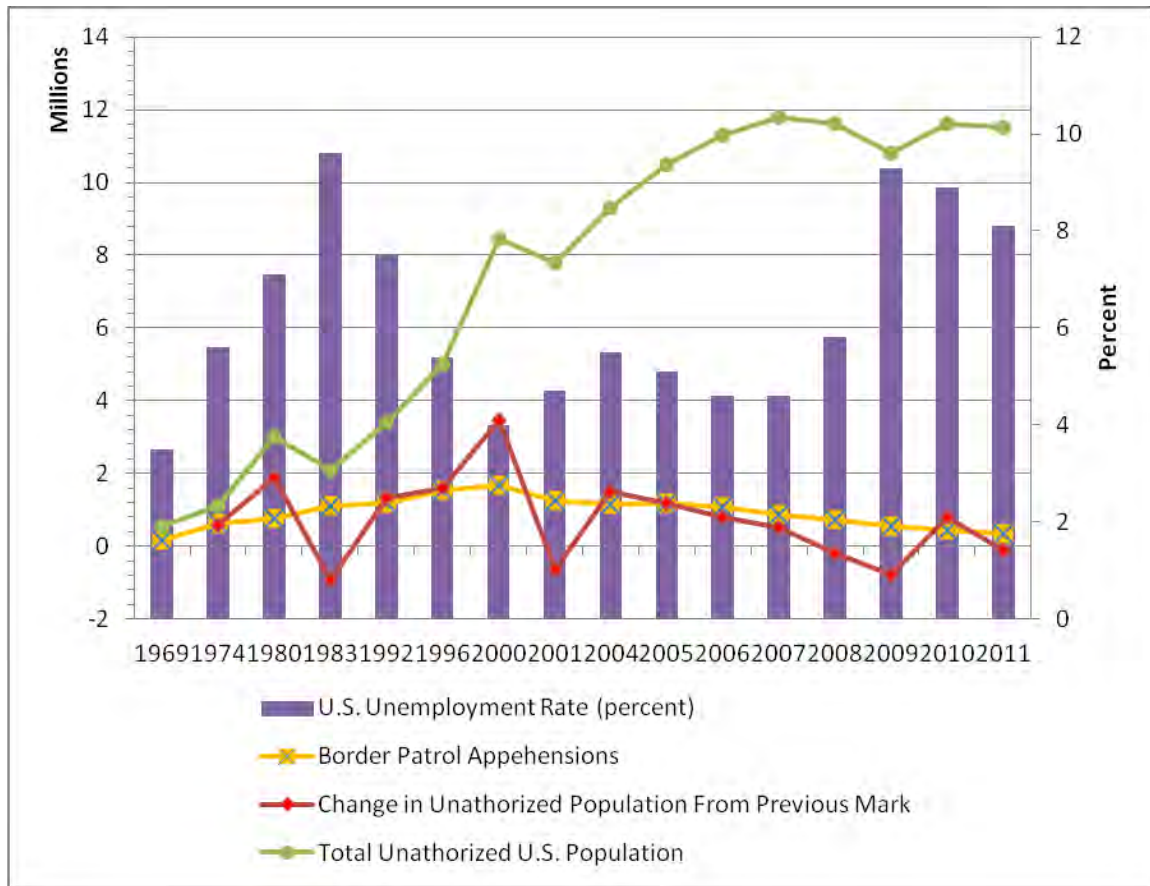


Figure 6. Consolidated Data Chart

D. FINDINGS

In his concurrence with the majority opinion related to an obscenity case that had come before the U.S. Supreme Court in 1964, Justice Potter Stewart wrote “I shall not today attempt further to define the kinds of material I understand to be embraced within that shorthand description[pornography], and perhaps I could never succeed in intelligibly doing so. But I know it when I see it, and the motion picture involved in this case is not that.”¹¹¹ The colloquial expression “I know it when I see it” is as pertinent in the realm of border security as it was in the above Supreme Court case. Justice Potter’s comment is also symbolic in that the determination of whether or not something meets a

¹¹¹ Justice Potter Stewart, *Concurring Opinion in Jacobellis v. Ohio* 378 (1964).

certain threshold, like secure border, is a qualitative process in which the answer to a question lies may well be a state of mind and not a state of matter in the eyes of the beholder.

Through the creation of the Homeland Security Enterprise and the QHSR missions followed by the outcome of the SB 1070 court battle, the United States has effectively claimed that it is all in this together as long as it, the federal government, approves of the measures taken by states to improve national and border security. As a result of the final outcome of the SB 1070 court case, the U.S. government has clearly cemented the duty in enforcing immigration and naturalization matters within the United States, and now U.S. citizens have a right for those duties to be executed in an effective and efficient manner.

The federal government's approach to securing the border has largely consisted of throwing millions of dollars in funding at border security rather than taking a systematic approach to identify what a secure border is and how it can be achieved. Over the past decade, the United States has doubled the annual budget of the DHS, doubled the number of DHS law enforcement officers and agents, and deployed historic levels of technology and infrastructure to the border region all in an effort to secure the border. The results of these border security efforts are all as debatable, based on the data used to measure effectiveness, as the questions of whether or not the border is secure or how is a secure border measured. What is not debatable is the number of apprehensions. With an increase in manpower, funding, technology, and unauthorized population, the only decrease was in apprehensions. If more funding, agents, and technology were effective in securing the border, an increase in apprehensions and a decrease in the unauthorized population would be expected; however, the data does not support this assumption.

The disparity between resources deployed and apprehensions can be attributed to a deterrence effect but alone does not explain the increasing number of unauthorized residents in the United States over the same period of time. What does explain the increase in the unauthorized population is that past border enforcement strategies have largely been ineffective because "illegal aliens have shown that they will destroy or

bypass any single measure placed in their path.”¹¹² In addition, “most migrants attempting unauthorized entry succeed despite significantly more U.S. Border Patrol agents and technology on the border.”¹¹³ The tenacity of those who seek to make an illegal entry coupled with the reduced ability of circulatory migration has led to a one-way flow that is into and not out of the United States.

As a result of the literature review and proceeding analysis, it is clear that the definition of “secure border” has been defined in multiple ways by multiple sole sources and lacks a unified definition. It is also evident that the definition(s) of a secure border holds a diverse meaning between political parties, states, communities, and neighbors across the United States. To some, a secure border can be summarized as a militarized zone with no illegal crossings while others consider a secure border a more open border with enforcement based on risks. However, what is evident is that the definition lacks measures that could focus resources toward an end state, whatever that is to be, and reduce the growing budget requirements of the DHS to ease the burden on taxpayers.

Despite the lack of a unified definition of a secure border, effective measures, and failed strategies, border security is an essential element to achieving homeland security.¹¹⁴ The task of competently securing the border and the homeland is extremely large and the enterprise approach is a good way to ensure the multiplication of forces to accomplish the task. However, in the homeland security enterprise solution, the stakeholders must be allowed to share in defining the task and their role and not just placed on the lower end of a hierarchy and directed to execute the mission blindly.

The next chapter demonstrates how using project visioning and the project management process can be used together as a framework upon which a solution for defining a secure border and its measures can be built.

¹¹² Sandia National Laboratories, *Systematic Analysis of the Southwest Border*, vol. i, prepared for the Immigration and Naturalization Service, January 1993.

¹¹³ *Bi-national Study: Migration Between Mexico and the United States* (Washington, DC: Bi-national Study on Migration, 1997), 28.

¹¹⁴ Department of Homeland Security, “Border Security Overview,” (n.d.), <http://www.dhs.gov/border-security-overview>.

V. SOLUTION

“Vision without action is merely a dream. Action without vision is just passing time. Vision with action can change the world.”¹¹⁵ This recommended strategy combines vision with action by following a vision and project management methodology that offers a structured approach to implementing a strategy for defining and validated a definition for the term “secure border.”

A. A VISION FOR THE FUTURE

Vision is a core concept in defining the direction and scope of a project. Vision has been described as “something that helps clarify the direction in which to proceed.”¹¹⁶ Vision is also described in greater detail as “one of the tools or means to engender passion and meaning to a project or an organization to meet its goals and objectives.”¹¹⁷ Creating a vision of a secure border and how its success is measured will not only be beneficial in “helping the group define their vision of the ultimate product and express their expectations in non-technical language, the ensuing vision is a powerful force for motivating the project team that will develop the new solution.”¹¹⁸ In the realm of border security, creating a vision of a secure border and how it would be measured would constitute a necessity.

The concept of vision, as discussed above, can provide direction, elicit collaboration, and motivate project teams, which are all beneficial to the project’s success. What has not been discussed is how to develop a vision that adequately reflects the desired end result. The development of a vision can be simplified using the vision box concept. This concept can be utilized at the beginning stages of a project to help focus the stakeholders involved in the project management process and ensure they all have the

¹¹⁵ Joel Barker, *The Power of Vision* (St. Paul, MN: Star Thrower, 1990), DVD.

¹¹⁶ John P. Kotter, “Leading Change-Why Transformation Efforts Fail,” *Harvard Business Review* 73, no. 2 (1995): 59–67.

¹¹⁷ Dale Christenson and Derek H. T. Walker, “Understanding the Role of “Vision” in Project Success,” *Project Management Journal* 35 (September 3, 2004): 39–52.

¹¹⁸ *Ibid.*

same end goal in mind as it relates to a definition of secure border. The vision box concept is relatively simplistic in that if the end product were going to be promoted to the marketplace in a box, what product characteristics, benefits, and attributes would be emphasized on the box to draw in and entice consumers to purchase that product?¹¹⁹

The DHS can use the vision box concept to create the vision that can guide the project management process to develop an acceptable definition of secure border for all stakeholders. Key characteristics, benefits, and attributes that can be used for the purpose of the vision box include factors, such as dynamic, achievable, realistic, and measurable to produce a vision. The DHS vision is to create an achievable realistic definition of secure border that allows for measurable effects of strategies that can evolve with threats while staying within the definitional boundaries.

B. PROJECT MANAGEMENT

Once the DHS has established a vision that identifies an end goal, the focus must shift to meeting that vision and reaching the goal. To achieve this endeavor, the vehicle most appropriate is the project management process. Project management has been in existence for centuries and has gained widespread acceptance by most organizations as the best way to develop and deliver new or improved services, products, or organizational processes.¹²⁰ The project management process can be divided into two parts, the project and the management of the project. Dr. J. M. Juran defined a “project” as “a problem scheduled for solution,” which accurately represents the purpose of this thesis as it relates to defining a secure border.¹²¹ The management of the project is the coordination of resources, as well as the management of people and change. In general, “Managing a project typically includes identifying requirements, establishing clear and achievable

¹¹⁹ Rick Freedman, “Define Your Project's Vision with This Exercise,” *TechRepublic*, 2009, <http://www.techrepublic.com/blog/tech-manager/define-the-vision-for-your-it-project-with-this-exercise/710>.

¹²⁰ David I. Cleland and Lewis R. Ireland, *Project Management Strategic Design and Implementation*, 4th ed. (New York, NY: McGraw-Hill Company, 2002).

¹²¹ Joseph M. Juran, *Juran on Leadership for Quality* (Simon and Schuster, 2003), 35.

objectives, balancing the competing demands for quality, scope, schedule and budget while adapting specifications, plans, and approach to the different concerns and expectations of the various stakeholders”¹²²

The project management stages that guide the project manager through the problem (project) along the path to a solution, as determined by the PMBOK, are illustrated in Figure 7. Each of these five stages is comprised of numerous processes; however, these processes are not intended to be applied unilaterally to every project.¹²³ Thus, the project manager and stakeholders have the latitude to determine which processes apply to their specific project and the degree of rigor to be applied in executing those processes.¹²⁴

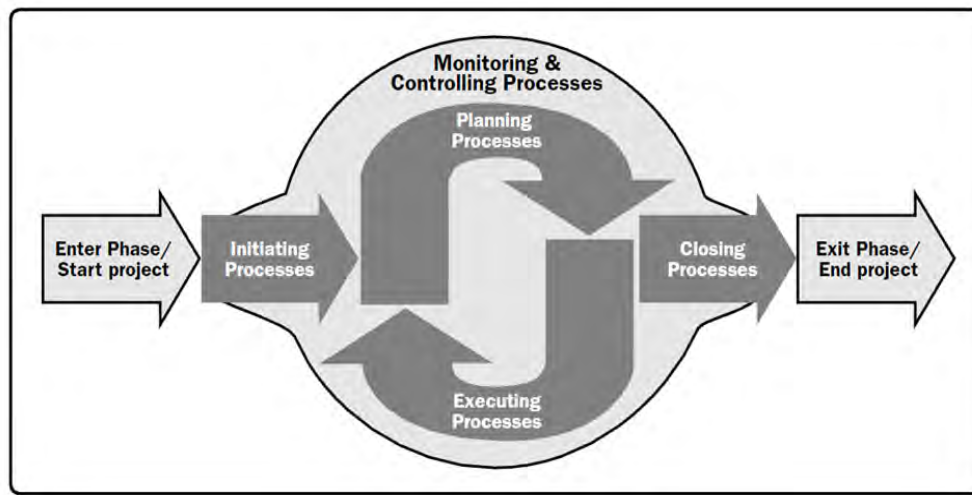


Figure 7. Project Management Process Groups¹²⁵

¹²² Project Management Institute, *A Guide to the Project Management Body of Knowledge (PMBOK® Guide)* (Newtown Square, PA: Project Management Institute, 2013), 6.

¹²³ Ibid.

¹²⁴ Ibid.

¹²⁵ Ibid., 49.

C. MODELING THE CONCEPT

In defining a secure border, utilizing the project management process, the vision and initiation stages are the critical steps that set the foundation for the entire project and dictate the projects flow through the remaining stages. These steps and the processes from the initiation stage are conceptualized in Figure 8.

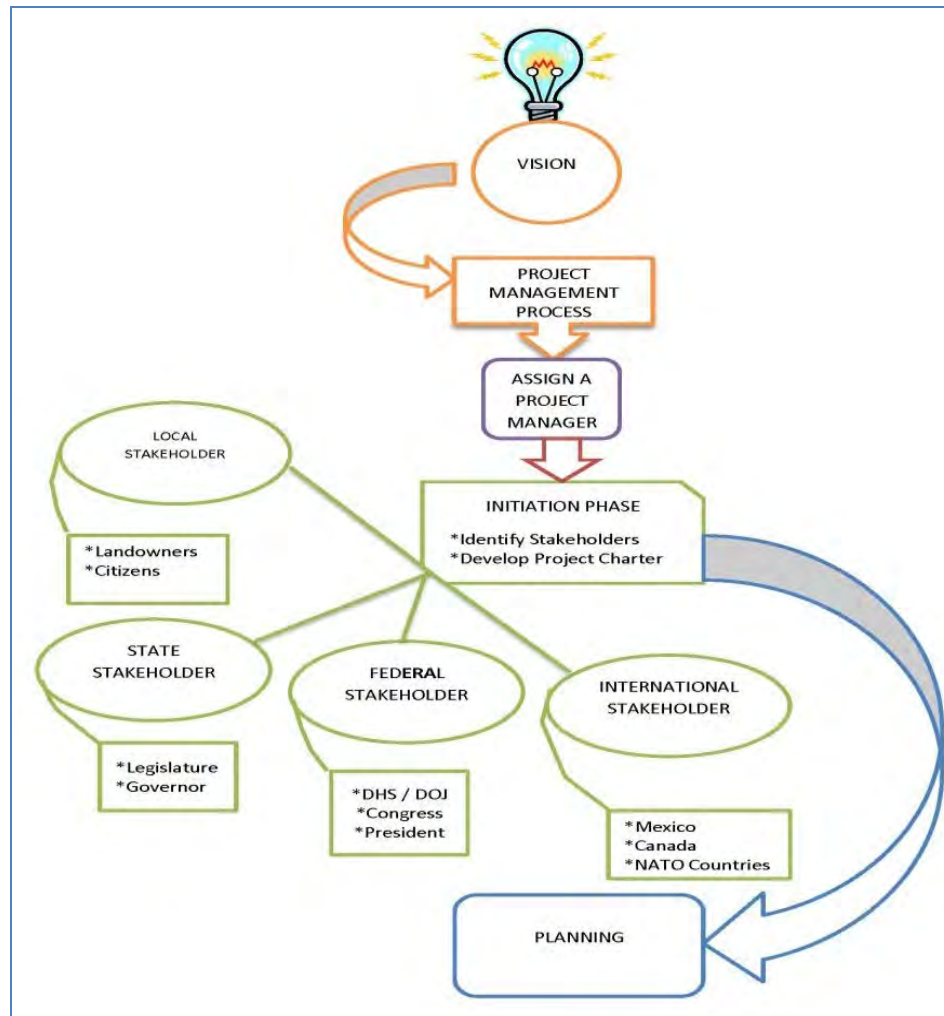


Figure 8. Project Management Process Flow Chart

After a vision has been created, and the project management process has been implemented as the methodology to achieve this vision, a project manager needs to be assigned the project. The selection of the right project manager is a vital step to ensuring the highest probability of project success. Since the secure border debate is politically

charged, high profile, and national in scale, the selection of the right person to serve as the project manager is crucial. In addition, the project manager must be granted the highest level of decision-making authority throughout the project management process.

The project manager must then identify stakeholders that will form the working group or Integrated Product Team (IPT). An IPT is considered, “a multidisciplinary group of people who are collectively responsible for delivering a defined product or process.”¹²⁶ The stakeholders that comprise the IPT are “individuals and organizations that are actively involved in the project, or whose interests may be positively or negatively affected by execution of the project or project completion. They may also exert influence over the project and its deliverables.”¹²⁷ The desired approach given to achieve the vision will determine the selection of the stakeholders. If the unilateral approach, walls, fences, and barriers are dictated as the method, then the project manager must limit the stakeholders to those within the United States (i.e., local, county, state, and federal). However, if a cooperative security approach is dictated as the method, then international stakeholders should be included. The international stakeholders would not need to be from only bordering countries as other countries willing to assist the United States in border security should be included.

The vision, selection of a project manager, type of approach given to achieve a secure border, and the selection of stakeholders to form the IPT, represent only the beginning. These are, however, crucial to setting the project management process on the right path and building the foundation to move on to the next phases, and ultimately, producing the desired results of defining a secure border.

¹²⁶ DoD *Integrated Product and Process Development Handbook* (Washington, DC: Office of the Under Secretary of Defense (Acquisition and Technology), 1998), 1.1.

¹²⁷ Project Management Institute, *A Guide to the Project Management Body of Knowledge (PMBOK® Guide)*, 393.

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VI. DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

This case study was conducted to offer an answer to the research question based on the analysis of available data that was collected and the subsequent findings. In addition to answering the research question, the researcher must remain cognizant of the problem statement and its relationship to the research question to make reasonable recommendations of solutions that can solve the issues presented in the thesis.

A. DISCUSSION

Little doubt exists that the definition of a secure border is as inadequate as its measures. The inadequacy in the definition and measures promote an ineffective and inefficient use of resources and ensures a secure border remains a moving target that can never be obtained. As a result, the United States has expended billions of dollars to achieve the goal of a secure border without a definition of what a secure border is or measures of success to know when the goal has been reached. This methodology has led this nation to focus continually on the symptoms of an unsecure border rather than on the root causes that make it unsecure. However, no terrorist attacks have been carried out inside the United States from someone who entered the country illegally. Thus, if the ability of terrorist to utilize the border as an entry point to attack the United States is a measure of border security then to that end the border has been secured. The fact remains that as a nation, no unified definition exists and no known attempts to rectify it have been attempted; therefore, no means are available to support a claim of a secure border.

Defining a secure border in a holistic and widely accepted language will not be an easy task, which can explain why it has not yet been accomplished. This complex undertaking is hampered by trying to define something that is as much a psychological state as it is a material state. The Chief of the U.S. Border Patrol, Michael Fisher, best explained it when he equated border security to that of home security. He once asked a room full of participants at a symposium how many had deadbolts, alarms, and security bars on their homes. Only a hand full of participants raised their hands. Chief Fisher then asked how many had deadbolts and an alarm system in their homes and more participants

raised their hands. Lastly, Chief Fisher asked how many participants had only a deadbolt for their homes and the vast majority of the room raised their hands. Chief Fisher stated that border security is the same as home security in that the level of security is an individual assessment of the environment and personal belief concerning safety.¹²⁸ With a lack of quantitative data and measures to support a claim that the border is secure, Chief Fisher's premise is held to be true as it reflects a more psychological approach rather than a scientific approach to determining the level of border security. In addition, no one person or entity can define a secure border in a meaningful way without input from stakeholders.

B. CONCLUSIONS

The research question in this thesis was "Can the project management process be applied to the border security effort to generate an accepted definition of secure border?" A thorough analysis of U.S. border security efforts and measures, past and present, have yielded the conclusion that the answer to the research question is yes, but with the caveat that limitations exist.

The statistical data reviewed in the analysis provided a graphic depiction of measures that had little to no bearing on reality. Apprehensions along the border remained in a steady decline while unauthorized residents either increased or showed slight decreases amid ballooning budgets and increased manpower along the border. In addition, the U.S. unemployment rate had a slight but considerably inconclusive impact on the unauthorized population in the United States.

Defining what level of security along the border constitutes a secure border has historically been a stovepipe definition that comes from single sources that have failed to collaborate with stakeholders. Congress creates a definition of operational control for a secure border only to have the DHS create its own interpretation of a secure border using varying levels of operational control. The states do not have a codified definition of a secure border, but according to many, the federal government is not succeeding in its

¹²⁸ Mark Borkowski, Assistant Commissioner for CBP's Office of Technology Innovation and Acquisition, Arlington, VA, in discussion with the author, September 2013.

effort to secure the border. Thus, for a widely accepted definition of a secure border to be effective, it must be developed among all stakeholders and not in a vacuum.

The GAO stated that, “it remains vitally important for DHS to continue to develop and implement a risk-based framework to help target where and how the nation’s resources should be invested to strengthen security.”¹²⁹ To accomplish this task, the DHS must first have an idea of what it is trying to accomplish, an end goal for a secure border. The project management process is perfectly adaptable to help the DHS develop these targets.

Project management processes have been utilized in the public and private sector for decades to gather requirements for, and deliver products. In this case, the end product being delivered is a definition of a secure border that can be collaboratively developed utilizing the project management process as a framework.

The project management process can be utilized to bring all the stakeholders together and create a definition of a secure border that can be more widely accepted. However, various issues concerning the definition will remain that will not be resolved, which stems from the social-psychological aspect of separating a secure border from a sealed border. Moreover, some citizens in the United States will never accept anything other than a completely sealed border.

C. RECOMMENDATION

In defining a secure border, the nation has witnessed and experienced numerous failures. As such, to avoid repeating the same mistakes continually, a new method should be explored. Creating a vision and implementing the project management methodology provides no guarantee of success in resolving the secure border dilemma; however, it does offer a new approach to solving a lingering problem. The project management process is adaptable and can be used to not only define secure border but to also generate

¹²⁹ U.S. Government Accountability Office, *Report to Congressional Requesters, House of Representatives, Homeland Security Progress Has Been Made to Address the Vulnerabilities Exposed by 9/11, but Continued Federal Action Is Needed to Further Mitigate Security Risks* (GAO-07-375), Washington, DC: GPO, 2007, <http://www.gao.gov/assets/260/255650.pdf>, 93.

measurable criteria that can be used to gauge success toward the definition.¹³⁰ As part of the project management process, the output or solution should be measurable and testable.¹³¹ This step allows for the creation of a definition and measures for the definition to be developed side by side.

The project management process will also introduce collaboration between stakeholders into the equation to find a solution. The stakeholder input into both the development of a definition and its measures will allow the DHS to address the GAO recommendation to target resources and invest wisely to reach an end state.¹³² Thus, the recommendation as a result of this research is that the DHS develop a vision of a secure border and move forward with identifying a project manager who can bring the project management process to fruition.

D. FURTHER RESEARCH

As discussed throughout this thesis, the meaning of a secure border has remained elusive and the measures utilized to determine whether the border is secure are non-quantifiable. The absence of empirical data that can demonstrate a secure border has generated a tremendous amount of debate between the citizens, states, and the federal government in regards to the exact level of border security this nation is experiencing. Dr. Fathali Moghaddam's and Norman Finkel's book, *The Psychology of Rights and Duties*, inquired about the definitions of rights and duties and the relationships between them.

Another premise in this thesis is that the government has asserted its authority on border security matters, and in doing so, has assumed that duty and the citizens of this country now have a right to have a secure border. However, one aspect of border security that has been understudied is the social and psychological aspects of determining a secure

¹³⁰ PM, *Guide to Project Management Body of Knowledge (PMBOK Guide)*.

¹³¹ Ibid.

¹³² U.S. Government Accountability Office, *Testimony Before the Subcommittee on Border and Maritime Security, Committee on Homeland Security, House of Representatives, Border Patrol Strategy, Progress and Challenges in Implementation and Assessment Efforts Statement of Rebecca Gambler, Acting Director Homeland Security and Justice Issues* (GAO-12-688T), Washington, DC: GPO, 2012, <http://www.gao.gov/assets/600/590686.pdf>.

border. If a secure border is a state of mind and not a state of matter, how can the border be secured at a level that meets the highest segment of the population's perception without quantifiable data?

E. SUMMARY

The need to define a secure border adequately and develop sufficient measures that can determine when the definition has been met is not a want for this nation but rather a must. In an environment that has seen numerous political battles and billions of dollars invested with little to no viable data to validate or support a positive return on these investments, a shift in doctrine and strategy must occur before the nation can come together as one on border security. Defining a secure border is the first step toward meeting the needs of the nation and its taxpayers.

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